THIRD EDITION

BUSINESS & PROFESSIONAL

Writing

Edited by

Michael J. Goeller

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Chapter One

Someone once said, "those who know *how* will always have a job, but those who know *why* will lead the way." When you write a project proposal, you need to answer two critical "why" questions: "why do this?" and "why *this way* as opposed to some *other* way?" A key premise of this text is that you can only answer those "why" questions through research. Without research, you will not have knowledge (or, at least, you will not be able to persuade other people that you have knowledge), and without knowledge you cannot answer "why" in a way that persuades people to follow you.

We live in a society where knowledge is at the heart of the decision making process. In this "knowledge society," as Peter Drucker has called it, "knowledge workers" need many complex skills and abilities to get things done. They need to be able to:

- guide their own learning to master new knowledge and skills,
- analyze new situations, assess information needs, and locate that information,
- understand and digest both factual and theoretical material,
- think creatively to combine or improve available ideas,
- harness knowledge to justify a plan,
- develop and explain complex plans of action to others, and
- manage people and resources by putting information into action.

Knowledge workers need to be prepared for the creative challenge of solving problems through research, and they need practice in communicating their research to others. Having the experience of writing a project proposal where they use research to rationalize a plan of action can be a great first step toward professional competence. This book is designed to help you through the process of writing such a proposal.

The Six Parts of the Project Proposal

Though formats differ from organization to organization, there are always six basic parts to any good project proposal:

- Patron (the person who will fund your proposal)
- Population (the people who will benefit from the it)
- Problem (the need or opportunity that your proposal addresses)
- Paradigm (the research rationale for your plan)
- Plan (the way you will address the problem)
- Price (the budget to implement your plan)

A good project proposal will always help a specific *population* address a *problem* by developing a *paradigm*-based *plan* of action that stays within the *price* that your *patron* is willing to pay. Though formats will differ from place to place, all strong proposals

will have these six basic elements. The difficult part of making a strong proposal is having all of the parts fit together into a coherent whole.

The Six P Formula can be used to organize both your written product and your writing process. The ideal process will follow the Six P's in order, more or less, focusing first on identifying a population to assist, a problem to solve, and a patron who would be willing to fund; then developing a paradigm through research that will help you design a well justified plan of action; and once you have your plan you can develop your budget.

Patron

Who will fund your project? This is the person to whom you will literally address your proposal, and therefore the person whose name will be on your cover letter or memo. He or she will be your chief audience or reader. This is the person you most need to persuade. The patron could be your boss, the people at headquarters, a government group, or any public or private foundation. Like the "patrons" of the arts who paid for public and private projects in the Renaissance, your patron is the person whose hand controls the purse. Recognize that the interests of your patron must ultimately influence the proposal. If you choose a source that is most compatible with your approach, you will have fewer problems justifying your plan to them.

Population

Who will benefit from your project? These are the people who will directly or indirectly benefit from your proposal. In a business setting, they may be your customers or people in your organization. In the case of a scientific project, the population should be thought of as both the people in your field who want certain questions answered and the people in the world who might benefit from your research. In any case, a persuasive project proposal will have a well thought out human dimension. After all, why should a proposal be funded if no one but you will benefit from it?

Sometimes students choose a project proposal (such as any reform at their college) where they themselves are part of the population to be served. If you do that, it is especially important for you to remain objective. No one wants to fund a self-serving project, and until you can imagine other beneficiaries for your work (the larger population of students to be served) you will not be able to make a persuasive case for funding.

Problem

What instigates your project? This could be a theoretical question (in the case of scientific research), or an opportunity not to be missed (in the case of an entrepreneurial endeavor), or a persistent issue that needs remedying (in the broadest sense of problem). All good proposals begin with a problem. If you find yourself beginning with a plan of action, then you have really jumped to conclusions. Before anyone should consider acting, after all, they need to be convinced that the problem is objectively real and that it needs to be addressed. You should first try to quantify or define your problem so that your patron can understand its scale, scope, and significance. In the case of a theoretical question, you will need to show how this question arose in prior research. In a business proposal, you will typically need to quantify the problem so that your patron can weigh

the costs and benefits of action and inaction. Why does the problem even need to be addressed? Ultimately, you need to provide evidence to answer that question.

Paradigm

Why is your plan of action the best one available for addressing the problem? To answer "why" you need a research-based rationale that answers these two questions: *How do you know* that your plan will solve the problem? And *why* try to solve the problem *this way* rather than any number of other ways? A good research-based rationale will show that you have a consensus within your field that justifies your approach. It might also show that the plan you want to implement has strong precedents to suggest it will succeed. This is basically what we mean by a "paradigm."

The way we use the term "paradigm" today has been greatly influenced by the work of Thomas Kuhn. In Kuhn's view, experiments form the basis of scientific knowledge by being what he called "exemplars" or models of how problems can be solved. The larger theory that explains why the models work, which he called the "disciplinary matrix," often comes much later. But the part and the whole are mutually dependent. When there is a consensus within a field of endeavor that this model and this matrix agree with each other, you have a paradigm. In terms of writing a persuasive project proposal, a paradigm can be either a model of success (or benchmark) that you think should be imitated or it can be a theoretical framework for understanding why your plan should succeed. The ideal paradigm will feature both an exemplar and a disciplinary matrix: it will have both a model of success and a theory of why that model succeeds; it will have both the part and the whole.

Paradigms describe the rhetorical and conceptual spaces that practitioners of any discipline generally follow. In the sciences and some areas of social research, paradigms are so commonly shared that a shorthand has developed for describing them, so that many paradigms can be summed up in a phrase that names a theory within a specific discipline: "integrated pest management" in agriculture, or "experiential learning" in education, or "ecological risk assessment" in environmental planning, or "the broken window theory" in sociology or law enforcement. These terms grew out of exemplary practices that became common knowledge within a field of endeavor.

If you want to develop a paradigm for your project, you might ask these questions: How have other people solved this problem or addressed this question in the past? What models of successful practice are available to give me ideas and help justify a plan or experiment? What theories or ideas might help me develop a logical approach to this problem or to develop experimental procedures? How might language from my discipline help describe and understand the problem?

Once you have a paradigm, you will be able to construct your plan based on research. Without a paradigm you will be inventing your plan out of whole cloth with nothing but your own ethos to justify it, and that is not likely to take you very far with your patron.

Plan

Your plan might be a construction project, a training or education program, an experiment to test a hypothesis, a study to determine what course of action is best, or some other specific initiative. Since a good plan will have to grow organically out of the people, problem, and paradigm, it is generally not the first thing you will work on for the project. It has to be responsive to your research findings.

How you present your plan will depend upon your project, but you should strive to be as explicit as possible about all that will be involved. If you can find a way to visually organize this part of your proposal, it will help your reader understand it better. If the project will take place in a series of steps, you might be able to set up a calendar showing the sequence of events. If the plan requires construction, you will probably want to draw a diagram of the thing you are going to build. But a good plan needs to look back at its problem and paradigm: it should detail the specific ways you are going to address the problem and suggest how it follows logically from your models and research.

Price

Once you have your plan in place, you will need to calculate a budget. Often, your budget is restricted before you begin your project, and you should recognize the ways that price can have a strong influence over choices you make in dealing with the other five P's. If you are making a case for overall long-term savings from your project, you may want to include those in your calculations. If the materials for your project can be broken down and detailed, then do so. Find out the price of the materials you need, either by contacting suppliers or looking up prices online. Talk to people who have done this sort of work before if you can. Use your judgment if you are not certain of costs, but try to be as realistic as possible.

Other Considerations

The Six P's are not an exhaustive list, but they should handle the critical issues you need to cover in any good proposal. We could add some other P's here, and I would like to mention two more, since they often come up: Partners and Politics.

By partners I mean the people who will help you achieve your goals yet who will not necessarily be benefiting from the project or providing funding for it. They might be other organizations or other people in your company. They can sometimes be very important to discuss in your proposal since mentioning their support will show that you already have convinced other people that you have a good project idea.

By politics I mean the larger cultural, economic, legal, or political situation that may impact your proposal. As we know, projects that might gain support at one time or in one place will not gain support in another time or place. If your project runs counter to prevailing ideology, you may have a problem on your hands. For example, it would be politically difficult to get backing to promote the medical use of illegal drugs in a State with tough anti-drug laws; it would be difficult to organize a deer hunt to address a deer overpopulation issue in a community that is anti-hunting; it might be foolhardy to propose new accounting tricks in the wake of accounting scandals like Enron; and costly

projects will not be well received during times of fiscal difficulty. At the very least, you may need to give special attention to your rhetorical frame (that is, how you argue for your project) or you may need to adjust some of your assumptions to make your proposal more feasible given current realities (or "politics.")

The Interdependence of the Six P's

You should imagine the Six P's spatially, as the parts of a coherent project that might come together in any temporal order. Making the Six P's fit together can sometimes feel like building a structure with six interlocking parts. The Six P's are completely interdependent entities, so choices in one area impact choices in other areas. You need to be open to revising the different parts of your project as it develops. How will decisions about the funding source (the addressee for your proposal) affect the way you approach the problem? How will the population to be served by the project impact the approach you might take?

For example, suppose your lab has expanded beyond its present capacity to give experimental space to all who need it. The people in charge of finding a solution to this problem will begin by asking themselves a number of questions:

- Patron: Where might we get money to solve this problem?
- Population: Who is most affected by the problem?
- Problem: What are some of the causes of the problem? What is its scope? What non-subjective evidence do we have that there really is a problem?
- Paradigm: How have other labs succeeded in solving this problem? What innovative approaches (such as time sharing) have they used? What areas of knowledge can be brought to bear on the problem?
- Plan: What plans are feasible given current fiscal and political realities?
- Price: How much do you think you might be able to raise to fund your project? How much have similar projects cost?

If you find a patron willing to give you whatever money you need, then that will make it possible to build additional space. But if your funds are limited and you need to make do with the space available, then that will clearly change your approach. In the case of limited funds, you may need to make decisions about which researchers should have priority over others, and so that will create a more narrow population that needs extra assistance. We could go on and on, but clearly at each step of your project you should recognize how your choices can have cascading effects down the line.

The Six Ps in Action

Because you are likely to make changes in your proposal at each step of its development, you should be prepared to revise your project as you go to make it more coherent. While not every project develops in a coherent step-by-step process following the order of the Six P's, they all need to put the Six P's together in a way that meshes. Some projects might actually begin with a plan ("I want to build a playground") and then work

backwards in order to supply the paradigm, problem and people that will create a unified project ("Who else needs a playground? Who else might benefit from the project and want to get involved? Who might fund it? How do we justify the project to the funding source?") Some projects begin logically but then require extensive revision to resolve conflicts between various areas of the Six P's (as when the patron doesn't like the price).

A Rutgers Computer Science student taking one of our professional writing courses – let's call her Sandy – wanted to build a web page for a restaurant where she worked, but she didn't see how that web page could be used to improve business. She had begun with the plan ("I want to build a web site"), and her dilemma was that she didn't see the problem to be solved or the paradigm to solve it. But that didn't mean she could not succeed in creating a fundable project proposal. She just had to go back to the beginning and ask some of the questions that had been skipped over in leaping to the plan of action.

Sandy already knew the funding source: the restaurant owners would pay to develop a good website. But she had not yet thought about the people to be served (who are our customers? do they even have access to the web?), or the problem (how could a web site improve business? what opportunities are we missing out on by not having one?), or the paradigm to guide her (what principles or models of success might give us ideas?) Without answers to these questions, the web site could very well become a waste of resources. She had to work on the Six P's.

A good project always depends on good research. And what Sandy most needed was a paradigm to guide her research.

In her initial writings about the project, Sandy had made the textbook distinction between "target marketing," which seeks to attract new consumers from a specific group, and "relationship marketing," which involves improving loyalty among the base of consumers who already use your product or service. She suggested that the internet was probably more useful for relationship marketing than for target marketing because of how expensive and difficult it is to reach consumers who haven't already heard of your business. In fact, she recognized it might be easier to attract people to the website by using the restaurant than to attract people to the restaurant by using the website.

What Sandy did not recognize right away was that the term "relationship marketing" describes a researchable concept, literally a marketing paradigm. Sandy had stumbled upon the term in her initial research, but because she was not a marketing major (she was a computer science major, after all) it had not occurred to her that she could explore that concept further through more focused research and reading. To do that, she needed to look at resources in the marketing field and examples of relationship marketing in action. A brief stop at the library index ABI Inform (which indexes business sources and even offers full text versions online) showed her that there was a wealth of source material within easy reach. A single search turned up almost 500 potential sources on "relationship marketing" alone. Though she found no examples of restaurants using the concept, she did discover quite a few service-sector models for using a web site to build relationships with loyal customers. One of the best examples she found, described at

length in one article, was of a dry cleaner that used a sophisticated web site not only to communicate with customers but also to offer other services that helped to develop a sense of community around the establishment. The site even had a singles meeting page that allowed people going to this dry cleaner to connect with local singles, many of whom would post their pictures both online and in the lobby of the establishment.

You might say that Sandy's paradigm was supported by both the exemplar (or example) of the dry cleaner and the disciplinary matrix (or theory) of "relationship marketing," two things she knew nothing about when she began her research. There were other approaches she could have explored (for example, there is a large body of research on building a "virtual community," a term coined by Howard Rheingold.) But the approach she found gave her what she needed. The idea Sandy ended up developing was quite creative and went beyond the things she had learned as a computer science major. In many ways, the project helped her to understand the human dimensions of her field.

After looking at how a number of other companies used their web sites to develop relationships with customers, Sandy was able to synthesize an original yet proven plan for her workplace. She decided to work on developing a sense of community around the restaurant, so that even when customers were not there they could participate in the social life of the institution, developing a relationship with it like the patrons of the television bar "Cheers." To entice current customers of the restaurant to visit the website, she would offer them online coupons, on the model of a number of other establishments. Customers visiting the site could find out more about the staff, e-mail suggestions directly to the chef, check out the calendar of upcoming events, join the restaurant "listserv" to receive announcements and advertisements, or check out what was going on at one of the live chat rooms. In a business so much built on loyal customers, a website that helped build loyalty was a concept worth implementing.

It took research to lead the way.

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Newspaper Exercise

Preparation

To participate in this exercise, you must read several newspapers and choose **one** article that could be the basis for a project proposal. The best articles will suggest a problem that you can imagine trying to address. The purpose of this exercise is *not* to get you to choose the topic that you will actually work on for this class (though it is possible that some of you might stumble upon your topic this way). Rather, this exercise is intended to get you to practice the process of project development. After reading the Chapter One, take notes on the Six P's that you can imagine developing from the article you have chosen. This will be collected and used in class discussions.

In Class

Get into groups of four or five, and do the following:

1) Each of you, in turn, should present your article to the other group members. Describe the article and explain how this might make a good project idea. (About 10 minutes)

2) After the individual presentations, decide, as a group, which of them would make the most interesting basis for a project. (About 5 minutes)

3) Elect a group leader. This person does not have to be the one whose article was chosen, but he or she will present your ideas to the class. (About 5 minutes)

4) Once you have elected a group leader, begin developing a project idea based upon the article and on your own general knowledge. Obviously, to develop a strong project you would have to do research, but do the best you can. Use the following questions as a guide to discussion: (About 20 minutes)

   - Problem. What is the basic problem or need your project will address? Why is it a problem? How could you illustrate the extent of this problem?

   - People. Who is affected by this problem? What specific population will your project serve?

   - Patron. Who might fund your idea? Why would they fund it?

   - Paradigm. What disciplines (e.g.: marketing, education, nutrition, medicine, etc.) might be useful in addressing this problem? What research would help?

   - Plan. How might you address the problem you have identified? What is your plan of action? Who will carry out this plan? What resources or assistance will you need? How much do you think your project might cost?

5) Present your ideas to the class and answer any questions (5 minutes for each group).

Six P's Exercise

Use the following form in a class exercise as directed by your instructor to analyze your project idea or the idea of someone else in your class.

Patron

Who would be willing to fund this project? Why would they want to fund it?

Population

Who does the problem affect? That is, who has a stake in seeing that there is a solution to the problem? Does your population have the same interests as the Patron?

Benifit

Problem

What are the main problems that need to be addressed? How could research shed light on these problems to emphasize their scale, scope, and significance? What sources of information about the problem would the patron find most persuasive?

Opportunity

Paradigm

What disciplines (e.g.: computer science, marketing, education, psychology, etc.) might be useful in developing a disciplinary matrix for providing a rationale for action? Where might models of success be found to help shape the plan? What research would help?

Plan

What possible plans of action can you already imagine at this point? What plans are politically feasible? What would you need to know in order to develop a logical plan?

Price/Budget

How might your budget be limited? How much do you think the project might cost? How can that spending be justified?

Chapter Two

Readings in Business and Professional Writing

A large part of your success in this course depends upon understanding some important concepts, including "culture," "paradigm," and "leadership." These concepts are best grasped in the context of discussing readings that offer commentary on the social situation of writing, descriptions of the paradigm concept, and examples of paradigms and paradigm shifts in action.

Each reading is chosen to help reinforce a major lesson of the course. Joel Arthur Barker's discussion of "paradigms," for example, offers an accessible representation of Thomas Kuhn's ideas. Without understanding the paradigm concept, you may have trouble conducting your research and successfully supporting your argument. You will also have trouble envisioning ways of making change within an organization, which often depends less on what Kuhn calls "normal science" than on what he calls a "paradigm shift." John T. Bowen and Stowe Shoemaker's discussion of "loyalty" helps us see how a paradigm—in this case "relationship marketing—can shape business strategy and improve practices. Importing paradigms is one way to bring about change within an organization. Malcolm Gladwell's essay on "designs for working" demonstrates that the paradigms that guide our plans can come from theoretical sources we might not expect to find useful. Who would have thought, after all, that the ideas of sociologist and urban planner Jane Jacobs would be so useful in designing office space? Ronald Heifetz and Donald Laurie's essay on "leadership" helps us understand the larger social implications of making change within an organization and respond to them appropriately. And Ian Parker's essay on PowerPoint helps us to recognize some of the limitations of relying on standardized forms of business writing to shape our presentations of ideas.

We hope that you find these essays worthwhile both in the course and in your professional lives.

Acknowledgements

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DEFINING A PARADIGM

"It's Twenty Cents, Isn't It?"

By Joel Arthur Barker

[Reprinted by permission from Joel Arthur Barker's "Defining a Paradigm," from his book *Paradigms: The Business of Discovering the Future* (New York: Harper Business, 1993): 30-41.]

When I began talking about paradigms in 1974 to corporate audiences, a lot of people asked me why I was wasting my time with such a strange idea. Most people didn't even know how to pronounce the word, much less define it.

Most of the changes [in the business environment] were driven by a special phenomenon – a switch in paradigms (pronounced pair-a-dimes). And, in the jargon of futurists, they would be called "paradigm shifts."

The concept of paradigms and paradigm shifts can help you better understand the nature of those unexpected changes [in the business environment]. Being able to understand what caused them will give you a better chance to anticipate other paradigm shifts.

Today, "paradigm" is a buzzword and people use it loosely. But it is not a loose idea.

What is a paradigm? If you look up the word in the dictionary, you discover that it comes from the Greek *paradeigma*, which means "model, pattern, example."

Let me give you some definitions that have appeared in various books since 1962. Thomas S. Kuhn, a scientific historian, and author of *The Structure of Scientific Revolutions*, brought the concept of the paradigm to the scientific world. Kuhn wrote that scientific paradigms are "excepted examples of actual scientific practice, examples which include law, theory, application, and instrumentation together – [that] provide models from which spring particular coherent traditions of scientific research." He adds: "Men whose research is based on shared paradigms are committed to the same rules and standards for scientific practice" (page 10).

Adam Smith's definition, in his *Powers of the Mind*, is: "A shared set of assumptions. The paradigm is the way we perceive the world; water to the fish. The paradigm explains the world to us and helps us to predict its behavior." Smith's point about prediction is important. We will see that most of the time we do not predict things with our paradigms. But paradigms do give us the added advantage of being able to create a valid set of expectations about what will probably occur in the world based on our shared set of assumptions. "When we are in the middle of the paradigm," Smith concludes, "it is hard to imagine any other paradigm" (page 19).

In *An Incomplete Guide to the Future*, Willis Harmon, who was one of the key leaders of the Stanford Research Institute, writes that a paradigm is "the basic way of perceiving, thinking, valuing, and doing associated with a particular vision of reality. A dominant paradigm is seldom if ever stated explicitly; it exists as unquestioned, tacit understanding that is transmitted through culture and to succeeding generations through direct experience rather than being taught.

In *The Aquarian Conspiracy*, Marilyn Ferguson, who first made her name as editor and publisher of the *New Sense Bulletin*, writes: "A paradigm is a framework of thought . . . a scheme for understanding and explaining certain aspects of reality" (page 26).

Let me offer my definition:

A paradigm is a set of rules and regulations (written or unwritten) that does two things: (1) it establishes or defines boundaries; and (2) it tells you how to behave inside the boundaries in order to be successful.

And how do you measure success?

For most situations success is really measured by your ability to solve problems, problems from trivial to profound. If you think about that definition, you should immediately get a sense of how widely it could be applied. For example: Based on my definition, is the game of tennis a paradigm? If you think about it for a minute, you'll discover that it is. Does the game of tennis have boundaries? Of course, that's the easy part. The tricky part has to do with success and problem solving. What is the problem in tennis? It's the ball coming over the net. And you must solve that problem according to the rules of tennis.

You must hit the problem with the tennis racket; not a baseball bat or your hand or your foot. And if you hit it back over the net so that it drops inside the boundaries on the other side, you have solved the problem. And your successful solution becomes you opponent's problem. In a very real sense, you and your opponent exchange problems until one of you offers the other a problem that he or she cannot solve. Tennis is a paradigm. All games are paradigms. The beauty of games is that the boundaries are so clearly defined and the requirements fir winning – problem solving – are so specific. Games allow for clear winners and losers. It is that aspect that generates much of any game's attraction. It is also that aspect that greatly disconnects them from reality.

Let us look at more important paradigms. Like your field of experience. Almost everyone has one, either at work or at home. You may be an engineer, or a salesperson, or a chef or a carpenter or a nurse or an economist. Are these paradigms?

Again, let us apply the test. What does the word "field" suggest? Boundaries. How do you feel when you are outside your field? Not competent, right? Not competent to do what? Solve problems. Why do people come to you? To receive help from you in solving problems in your field. That sounds like paradigms, doesn't it?

Do artists have paradigms? I used to tease and say artists were just wild and crazy folks. Then I got straightened out by an artist. She came up after one of my speeches and said, "I'm a sculptor. What do you think the piece of marble I work with is?" I saw that it was her "field" and then realized she was going to work "inside the field" by chiseling into that block of marble.

"Okay," I said to her, "but you can do anything you want with that piece of marble."

"Not if I want to be judged successful," she retorted. And then she told me of the rules of "texture" and "form" and "balance' and "content" that she had to follow in order to be considered successful.

Since that encounter, I have begun to listen to artist's talk, especially about the "problems" they have solved in their work, whether it is a problem of perspective, or of color, or of tonality, or of character development. Artists have paradigms.

In a sense, I am constructing a hierarchy. At the top sits science and technology. That's where Thomas Kuhn focused. Science and technology deserve top billing because they are so careful with their paradigms, in terms of writing them down, and of developing measurement devices of increasing precision to tell whether they have solved a particular problem.

And, once a scientist has performed a successful experiment, it is expected that he or she should be able to hand the notes and the apparatus to another scientist who should then be able to replicate that experiment, getting the same results.

We would never expect a tennis player to be able to "replicate" Boris Becker's serve by just reading his notes and using the same tennis racket. Or someone to replicate an artist's work by being given the same pigments, paintbrushes, and canvas. The requirement of reproducibility constitutes a very important difference between science and all other fields. It results in science and its technologies having much more power to manipulate reality. But, even though they are more powerful, if you apply the definition I offered to science and technology, you will see that it holds true.

Over the years, I have collected words that represent subsets of the paradigm concept. Below they are ordered on a spectrum ranging from challengeable to unchallengeable. You may disagree with my arrangement, but take a look at the words

and think about the boundaries and rules and regulations for success that the implicit in them.

Theory	**Patterns**	**Prejudices**
Model	**Habits**	**Ideology**
Methodology	**Common Sense**	**Inhibitions**
Principles	**Conventional Wisdom**	**Superstitions**
Standards	**Mind-set**	**Rituals**
Protocol	**Values**	**Compulsions**
Routines	**Frames of Reference**	**Addictions**
Assumptions	**Traditions**	**Doctrine**
Conventions	**Customs**	**Dogma**

Please note that nowhere in the list do the words "culture," "worldview," "organization," or "business" appear. That is because cultures, worldviews, organizations, and businesses are **forests of paradigms**. IBM is not one paradigm; it is a collection of many. That is true for any business. Large or small, they have management paradigms, sales paradigms, recruitment paradigms, marketing paradigms, research and development paradigms, human resource development paradigms. It goes on but I am sure you get the point. And there are even more paradigms in our cultural life: how we raise our children; how we deal with sex; how we define honesty; the food we eat; the music we listen to.

And the interrelationship of all these paradigms is crucial to the success and longevity of any culture or organization. That is captured in the word "forest" – a highly interdependent structure. As we know from the environmental paradigm, when one thing in the forest is altered, it affects everything else there. So when someone within your organization starts messing with their paradigm and says, "Don't worry, it's got nothing to do with you," start worrying. It is never just one paradigm that is changed.

A paradigm, in a sense, tells you that there is a game, what the game is, and how to play it successfully. The idea of a game is a very appropriate metaphor for paradigms because it reflects the need for borders and directions on how to perform correctly. A paradigm tells you how to play the game according to the rules.

A paradigm shift, then, is a change to a new game, a new set of rules.

It is my belief that changes in paradigms are behind much of society's turbulence during the last thirty years. We had sets of rules we knew well, then someone changed the rules. We understood the old boundaries, then we had to learn new boundaries. And those changes dramatically upset our world.

In *Megatrends*, the best-seller of 1982, John Naisbitt reflects in an indirect way how important paradigm shifts are. Naisbitt suggested that there were ten important new trends that would generate profound changes in our society in the next fifteen to thirty years.

I believe that if your look for what initiated those trends, you will find a paradigm shift. What Naisbitt identifies for us in *Megatrends* is important, because he shows us a pathway of change that we can follow through time to measure how we are getting more of something or less of something.

But even more important than the pathway is our understanding of what instigated that change in the first place. We almost always find that at the beginning of the trend, someone created a new set of rules. The trend toward decentralization is an excellent example of a paradigm shift. The old rules, the old game, required that we "centralize the organization and make the hierarchy complex." But the game ultimately created big problems. Then somebody discovered that there was a different way to deal with the problems, which was to decentralize the organization and simplify the structure; in other words, to change the rules. The result was a paradigm shift.

So if you want to improve your ability to anticipate the future, don't wait for the trends to develop. Instead, **watch for people messing with the rules, because that is the earliest sign of significant change.**

Four Questions

One of the difficulties I have with Thomas Kuhn's *Structure of Scientific Revolutions* is his insistence that paradigms exist only in science. In his afterword, Kuhn takes great pains to talk about all the other disciplines as being "preparadigmatic" because they do not have the exactness of science. And yet, again and again I saw the phenomena he writes about in nonscientific settings and situations. Then I realized that a key element in one of his most powerful examples was not scientific but cultural – a simple deck of cards. The cards were used in a scientific experiment to prove that people have great difficulty perceiving "red" spades and "black" hearts when they are intermixed with standard cards and flashed very quickly to an observer. But even though the experiment was scientific, the objects of the experiment, the cards, are cultural artifacts. And the expectations about the correct colors are cultural expectations, not scientific expectations.

So the experiment was actually a measure of the power of a simple cultural paradigm – the card-deck paradigm – to set up boundaries that dramatically influenced the way the subjects of the experiment saw the anomalous cards.

I am convinced that what Thomas Kuhn discovered about paradigms is a description not just of science but of the human condition.

When we look back to the 1960's, we see nonscientific paradigm shifts: Parents responded so violently to drugs and long hair on their children because these things represented a cultural paradigm shift; we missed the OPEC revolution because of an economic paradigm shift. Our country's inability to understand the Iranian revolution had to do with religious paradigms. Much of the confusion we have about the future is because of changes in paradigms.

These paradigm changes are especially important for all of us because, whether it is in business or education or politics or our personal lives, a paradigm change, by definition, alters the basic rules of the game.

And, when the rules change, the whole world can change.

The points that Kuhn makes about scientific paradigm shifts are true for any situation where strongly held rules and regulations exist.

I should also add the following disclaimer: I doubt very much if Kuhn appreciates the extent to which I, and others, have generalized his concepts. In his book he states that only in science, where the rules and examples and measures are precise, can paradigms exist. He also contends that only with the subtlety and accuracy possessed by science can changes in paradigms be measured so as to trigger the search for a new paradigm. I accept the obligation imposed by Kuhn's own careful qualification. In spite of his argument to the contrary, I still believe that his observations can be applied in a broader sense with great utility. I hope you will find this true as well.

To frame this broader discussion, we will ask four questions about paradigms:

1. When do new paradigms appear? This question is all about timing. If we can know when the new rules are going to show up, then we can anticipate our future with much greater accuracy. Timing may not be everything, but it's a great place to start.

2. What kind of person is a paradigm shifter? It is as important to understand who are the paradigm shifters, the people who change the rules, as it is to know when they show up. Of the four kinds of paradigm shifters that will be described, three are already inside your organization. But typically, we do not understand how to use them to our advantage. In fact, we usually are very hard on these people.

3. Who are the early followers of the paradigm shifters and why do they follow them? I call these people paradigm pioneers. Without them, paradigm shifts take much longer. Paradigm pioneers bring the critical mass of brainpower and effort and key

resources necessary to drive the new rules into reality. Very few of us can be paradigm shifters; many more of us, if we understand our roles, can be paradigm pioneers.

4. How does a paradigm shift affect those who go through it? It is crucial to answer this last question if we are going to understand why there is so much resistance to new paradigms. It also explains the great gulf between old and new paradigm practitioners.

When we have answered these four questions, we will have identified the Paradigm Principles.

QUESTIONS FOR DISCUSSION

1. Barker says of the term "paradigm" that "people use it loosely...but it is not a loose idea." Yet he goes on later to list 27 loosely equivalent terms, suggesting that the definition is not so set in stone.

   Does Barker finally settle on a definition? What is it? Based on your reading of Barker, how would you define a "paradigm" in your own words?

   As part of the process of developing a definition, get into groups of three and try, as a group, to draw a picture of a "paradigm." Of course, the word describes an abstract concept and so there can be no actual picture of a "paradigm." But in drawing a picture you will be able to objectify it and thus make it easier to describe in your own words. Give it a try. What does a paradigm look like? How might you describe it metaphorically?

2. Students often say that they are prevented from being original by the requirement that they use research to provide a rationale for their plan. After all, they ask, where is the room for pure invention if everything needs to be supported by research into what other people have done? How can new ideas come out of old ones?

   How might Barker respond to these questions? Can tradition actually *support* original work? Can the fact that fields outside of science do not have the same "reproducibility" introduce an element of creativity? Or does creativity get introduced through the concept of "paradigm shifts"?

3. How do you research a paradigm? For example, if you wanted to solve the common problem of parking on campus, how would you find a paradigm? How would you research it? What would you look for?

LOYALTY: A STRATEGIC COMMITMENT

By John T. Bowen and Stowe Shoemaker

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Building a group of loyal customers is money in the bank for a hotel, but loyalty requires a long-term relationship in which a hotel earns its guests' trust.

The hotel industry has in recent years become interested in developing loyal guests through relationship marketing, but that initiative has progressed only by fits and starts. The industry's approaches to relationship marketing have so far focused largely on transactional tactics, such as frequent-user programs, gifts for repeat customers, and familiarization trips for meeting planners. As the weaknesses of the transactional approach become apparent (primarily, anyone can copy those tactics), new concepts of relationship marketing are employing a strategic perspective intended to develop guests' loyalty in a way that cannot easily be duplicated by competitors. This study of relationship marketing focuses on loyalty-a relationship built on trust and commitment between the buyer and the seller. Based on the information we garnered from our research, hotels that seek to employ the relationship marketing strategies discussed here may have to undergo fundamental changes in the way they conduct business. This article explains our investigation of how luxury hotels might take a strategic approach to relationship marketing based on loyalty.

Aiming for the Bottom Line

The benefits of relationship marketing come from the continuing patronage of loyal customers who display decreased price sensitivity over time, a concomitant reduction of marketing costs, and "partnership" actions on the part of those customers. The reduction in marketing costs is a result of the facts that it takes fewer marketing dollars to maintain a customer than to create one and that loyal customers help create new customers through positive word of mouth. Loyal customers are less likely to switch to a competitor solely because of price, and loyal customers also make more purchases than comparable non-loyal customers.[1] Partnership-like activities of loyal hotel customers include offering strong word of mouth, making business referrals, providing references and publicity, and serving on advisory boards. The combination of these attributes of loyal customers means that a small increase in loyal customers can result in a substantial increase in profitability. Reichheld and Sasser found that a 5-percent increase in customer retention resulted in a 25- to 125-percent increase in profits in nine service-industry groups they studied.[2] These researchers concluded that building a relationship with customers should be a strategic focus of most service firms.

Customer loyalty is particularly important to the hotel industry, because most hotel-industry segments are mature and competition is strong. Often there is little

differentiation among products in the same segment. For example, general managers from ITT Sheraton in Asia were shown pictures of hotel rooms from their own chain and three competitors. Most managers could not identify the brand of one room-not even their own-although they were given a list of eight brands from which to choose.[3] The difficulty faced by hotel brands of differentiating themselves on physical attributes is one of the factors that drew the industry's attention in the 1990s to relationship marketing. The goal of relationship marketing is to build customers' loyalty based on factors other than pure economics or product attributes.[4] In essence, relationship marketing means developing customers as partners, a process much different than traditional transaction-based marketing. Exhibit 1 shows the differences between traditional marketing and relationship marketing.

Building Relationships

Our study examined the antecedents and consequences of building relationships with customers in the luxury-hotel segment. To test a proposed model of service relationships, the study needed to meet the following sub-objectives.

- Identify the type of benefits (e.g., upgrades, frequency points) luxury hotels must offer so that guests want to develop a relationship with (and consequently a feeling of loyalty for) the hotel;

- Identify the behavioral outcomes of this relationship (e.g., increased product use, willingness to promote the hotel);

- Evaluate the current practices of luxury-hotel operators (e.g, revenue management, last-room availability) and the impact of such practices on developing relationships with customers;

- Identify actions undertaken by luxury hotels that affect consumers' feelings of trust in the hotel (whether positive or negative); and

- Determine whether relationship issues vary according to purpose of stay (i.e., business or pleasure), demographic characteristics, and frequency of use.

Satisfaction Isn't Loyalty

Customer satisfaction measures how well a customer's expectations are met by a given transaction, in this case a hotel stay. Customer loyalty, on the other hand, measures how likely a customer is to return and also gauges how willing that person is to perform partner-like activities for the hotel-starting with recommendations to friends.

Satisfaction

A customer who receives what she or he expected in a hotel stay is most likely to be satisfied. If the guest's expectations were exceeded, she or he may be extremely satisfied. Customer satisfaction of this kind is a requisite for loyalty, but satisfied customers may not become loyal customers. Some of the reasons for the failure of satisfaction to translate into loyalty are unrelated to either satisfaction or loyalty. Travelers who do not regularly visit a particular area, for instance, cannot be loyal to an individual property simply because they never return to the area. Additionally, some luxury-hotel guests seek variety and sample a different property each time they return to an area. These customers may be satisfied with a hotel, but their drive for novelty inhibits their loyalty to a given hotel. Some guests remain price sensitive, even at the luxury level, and shop for the best deal. Even though they were satisfied with a particular hotel, they will try another one that makes a better offer. As a final consideration, customers at this level simply expect that they will be satisfied with their purchase and that the hotel will perform as advertised. If there were any likelihood of failure, the guest would not have made the purchase in the first place. As a consequence, hotels generally garner solid satisfaction ratings, but not necessarily loyal customers.

Loyalty extends beyond simple satisfaction. As an example of the weak effect satisfaction has on repeat purchases, researchers Reichheld and Aspinwall found in 1993 that 90 percent of customers who changed from one supplier to another-in this case their bank-were satisfied with their original supplier.[5] A study by Heskett, Sasser, and Schlesinger found that the link between customer satisfaction and customer loyalty was the weakest relationship in their service-profit-chain model, which attempts to capture the influence on profit of operating strategy, service-delivery system, service concept, and target market.[6] In the Heskett group's study, fewer than 40 percent of those giving a particular service a rating of satisfactory (score of 4 on a five-point scale) intended to return, while 90 percent of those who rated the service very satisfactory (score = 5) intended to return.

Although keeping customers satisfied is important, loyal customers are more valuable than satisfied customers. A satisfied customer who does not return and spreads no positive word of mouth has no net present value to the company. On the other hand, Kotler, Bowen, and Makens calculated that a loyal customer of a luxury hotel who both returns and spreads positive word of mouth has a net present value of more than $100,000.[7]

Model for Relationship Marketing The extent of customer loyalty indicates the likelihood of a customer's returning to a hotel and that person's willingness to behave as a partner to the organization. Morgan and Hunt developed a model of relationships that proposed trust and commitment as central to the development of long-term relationships. We developed the model of service relationships (MSR) shown in Exhibit 2 based on the work of Morgan and Hunt.[8] The MSR also builds on the research undertaken by

Gundlach, Achrol, and Mentzer, who investigated the structure of commitment.[9] The difference between the MSR and previous models is that our model focuses on services in which one of the partners is the end user, whereas previous models have examined relationships between firms.

Two concepts at the heart of a relationship are trust and commitment. Cravens and Piercy, for instance, state that trust is important to the success of a partnership. With trust as a precursor, a customer becomes loyal to a firm and forms a commitment to that firm. Morgan and Hunt found a significant connection between trust and relationship based on commitment. Our model also proposes that a positive connection exists between commitment and trust in a relationship.

Commitment

Relationship marketers generally believe that the future of buyer-seller relationships depends on the commitment made by the partners to the relationship.[10] Gundlach et al. defined commitment as "an implicit or explicit pledge of relational continuity between exchange partners."[11] Based on our reading of the literature, we define commitment as the belief that an ongoing relationship is so important that the partners are willing to work at maintaining the relationship and are willing to make short-term sacrifices to realize long-term benefits. As an example, a hotel would make the short-term sacrifice of holding a block of rooms at a reduced corporate rate for the long-term benefit of working with a regular customer, even though those rooms might be sold at a higher rate if the block were released. With an individual customer, the hotel would, for instance, make good on a service failure by forgoing revenues on a particular item to secure the customer's future business (and positive word of mouth).

Trust

Trust has been defined by one set of authors as the "willingness to rely on an exchange partner in whom one has confidence."[12] A second author defines trust as "a generalized expectancy held by an individual that the word, promise, or statement of another individual can be relied upon."[13] Trust is considered so important to commitment and to long-term relationships that Sullivan and Peterson stated: [W]here the parties have trust in one another, then there will be ways by which the two parties can work out difficulties such as power conflict, low profitability, and so forth.[14] Central to all of these definitions of trust are reliability and working for the interests of the partner.[15]

Natural opportunistic behavior

Within the daily operation of a partnership, one partner often has the opportunity to take advantage of the other. For trust to develop, we hypothesize that partners in a relationship must suppress this natural opportunistic behavior, resist the desire for an advantage, and instead work toward a mutually beneficial situation. An example of

natural opportunistic behavior is a revenue management system that enables a hotel to change its rates according to demand. We propose that there is a negative relationship between natural opportunistic behavior and trust.

Benefits

The benefits component of our model captures the benefits a customer will need to receive from the service provider to make a commitment to that provider. Benefits are related to commitment.

For a customer to enter into a relationship, the relationship must provide value for that customer. Hotel chains recognize this fact. For example, Sheraton reworked its housekeeping system to allow its Sheraton Club International members to check out as late as 4:00 PM. Kelly and Davis found that health club customers receiving higher levels of service quality are more committed to the health club than those whose service experience was average. We propose a positive relationship between benefits and commitment.

Fair costs

Fair costs can be categorized as day-to-day costs and switching costs.[16] In our study the day-to-day cost was operationalized as the perceived value of the room rate and the fairness of the costs. In this study costs were measured as being fair, or having a positive sign. Switching costs (i.e., the costs associated with changing from one product or provider to another) were measured by asking respondents directly about those costs." We propose there is a positive relationship between switching costs and relationship commitment and between switching costs and value.

Understood values

Values have been defined as follows:

- "generalized, enduring beliefs about the personal and social desirability of modes of conduct or end-states of existence";[18]
- "the extent to which partners have beliefs in common about what behaviors, goals, and policies are important or unimportant, appropriate or inappropriate, and right or wrong";[19] and
- "beliefs held by an individual or group that speak to the actions and goals (ends) organizations ought to or should identify in the running of an enterprise."[20]

Myers states the impact of shared values on commitment depends on the degree to which a value is conflicting or shared, the intensity of the value to each of the relationship

partners, and the value of the relationship. Values are affected by international cultural differences, organizational culture, and the values held by key individuals involved in the relationship.[21] Although values are an important component of relationships, we did not measure values in this study because of their complexity.

Reactive opportunistic behavior

Reactive opportunistic behavior apparently stems from lack of commitment. This tit-for-tat behavior occurs when one party attempts to take advantage of another party because the first party concludes that the other party has failed to look after the first party's best interest. Because our sample included only loyal customers, we did not measure reactive opportunistic behavior as a component of the model.

Product use

Product use in this instance measures the incremental business a guest is likely to bring to a hotel with which the guest has developed a relationship. Reichheld and Sasser found that loyal customers purchase more from a firm than similar non-loyal customers.[22] Kelly and Davis stated that a customer's commitment to the organization results not only in repeat purchases but also a greater willingness to become an advocate for the organization.[23]

A committed hotel guest, for example, would be more likely to use the food and beverage facilities at the hotel with which he or she has developed a relationship rather than go someplace else to eat. In contrast, the guest who does not have a relationship with the hotel will more likely go out of the hotel for meals. The attributes used to measure this construct were related to the luxury-hotel market. We propose a positive relationship between relationship commitment and product usage.

Voluntary partnership

Voluntary partnership comprises the variety of activities that one member of the relationship is likely to undertake on behalf of the other member. We discuss the hotel's possible partnership activities throughout this article. Guests in voluntary partnership may give favorable word of mouth, make business referrals, provide references and publicity, and serve on advisory boards.

Another element of voluntary partnership is that when disputes occur the partners make a determined effort to work things out. Instead of dissolving the partnership when a dispute arises, committed partners use the dispute as the basis for new understandings.

This functional conflict can prevent stagnation, stimulate interest and curiosity, and provide a medium through which problems can be aired and solutions achieved.[24] For customers to become involved in functional conflict, however, they must be committed to

the relationship or they will simply switch vendors. We propose a positive relationship between commitment and voluntary partnership.

Expectation

We derived the expectation component of our model from past research on service quality.[25] Since this area has already been tested in previous research, we did not specifically test it.

Questionnaire Development

After our review of relevant literature, we conducted a series of in-depth interviews with 22 luxury hotel guests of the New York Palace and the Waldorf Towers who had paid a minimum of $350 per night for their hotel stay. From the interviews and our literature review we began developing a model of guest loyalty (see Exhibit 2) and a questionnaire to test that model. We subsequently presented the proposed model to other researchers at two academic conferences on relationship marketing. We received helpful comments on the model as a result of these presentations.

Next, we pre-tested the survey instrument as follows. Based on comments received during the interviews and from the conference presentations, we developed an initial questionnaire that we mailed to approximately 100 people from a list supplied by a luxury hotel in New York.[26] We also conducted personal interviews with six guests at the Rancho Bernardo Inn in California, showed the survey to guests, and asked for their comments, particularly on survey length, format, and readability.

With the pre-test completed, we mailed the survey to 5,000 American Express-card holders who had stayed at least three times in one of a pre-selected list of specific luxury hotels.[27]

Results

We received 892 usable questionnaires. Allowing for undelivered (returned) surveys, the response rate was 18 percent, a level common to surveys of this kind. The sample predominantly comprises men (85.4 percent). The participants' median age is 48 and their median income is $260,000. The most frequently mentioned occupations included attorney (13.5 percent), executive (9.3 percent), consultant (7.3 percent), investment banker (7.3 percent), and marketing or sales representative (6.6 percent).

Within the last year, 60.5 percent of the respondents stayed in a luxury hotel when traveling on a combination of business and leisure. Slightly more than one-third stayed in luxury hotels when traveling primarily for business and a small percentage used the hotels primarily for leisure. More than four out of ten participants (44.1 percent) stayed in luxury hotels more than 12 times in the year preceding the survey. More than two out of

ten participants stayed either 2 to 6 times (26.9 percent) or 7 to 12 times (28.9 percent) in the last year. Less than 1 percent of the respondents stayed in a luxury hotel only once in the last year.

To determine whether the respondents were representative of the total sample, we interviewed 196 non-respondents via telephone. We could find no significant difference between respondents and non-respondents on such characteristics as gender, age, and use of luxury hotels. Looking at the subset of business travelers, our analysis suggests that, compared to those who responded, non-respondents were older, stayed in the luxury hotel to which they are loyal more frequently, and were more loyal. We concluded, therefore, that the results presented in this report are conservative, and that the findings may understate the relationships that exist.

When traveling to their favorite luxury hotel, 48.3 percent of the participants were traveling primarily on business, 13 percent were traveling primarily for leisure, and 38.7 percent were on business combined with leisure. Although we found noteworthy differences between those whose reason for stay was primarily business and those who stayed primarily for leisure, we restrict our discussion to the business travelers. As examples of the differences, however, leisure travelers were more interested than business travelers in the following features: hotel helps you with other reservations (e.g., meals, shows, tee times); hotel provides you with occasional gifts (such as fruit baskets); hotel sends out newsletters; and you can request a specific room. Moreover, leisure travelers were less interested in rooms with business equipment than were business travelers.

Statistical tests

To develop a path diagram for testing the model of service relationships, we applied Amos, a structural modeling program distributed by SPSS. By adjusting the model according to procedures suggested by Arbuckle, by Bentler and Chou, and in a conversation with Werner Wothke, we were able to produce a model with a good fit. We compared the final model to a baseline model using the normed-fit index (NFI) developed by Bentler and Bonett.[29] The final model had a NFI of .98 which, according to Bentler and Bonett, indicates a good fit.

Building Commitment

The results support the proposition that benefits, trust, switching costs, and perceptions of value (the day-today-cost measure) lead to relationship commitment, the behavioral outcome of loyalty. These results are shown by examining the regression weights relating to commitment.[30] As indicated by the regression weights, benefits and trust are the most important antecedents to commitment. The constructs of value (day-to-day cost) and switching costs have less impact on relationship commitment (each having a Beta of .17) than do benefits and trust, but there is still a positive relationship.

As expected, natural opportunistic behavior is negatively related to trust, albeit weakly, as evidenced by a Beta of -.13. This result suggests that if a hotel practices opportunistic behavior, the customer will be less likely to have trust in the hotel, and, in turn, the less likely there will be relationship commitment.

The results also support the proposition that commitment to a relationship results in increased product use and voluntary partnership activities by the customer. The relationship between relationship commitment and voluntary partnership is quite strong, as evidenced by a degree of .83. The findings that product use and voluntary partnership are outcomes of relationship commitment suggest that it is worthwhile for luxury-hotel firms to develop relationships with their guests.

Customers will give back to the hotel to which they feel loyalty. For instance, data from the study indicate that a guest who feels loyal to a specific property will relay positive comments about the hotel to a median of 10 people and will also spend more money at the hotel.

The reader should realize that the model was tested using responses to questions regarding practices at the hotel to which the respondent was most loyal. We thought it would be useful to examine what a hotel might do to increase feelings of loyalty, as discussed in the next section.

Factors That Build Loyalty

To identify features that build loyalty, we tested the loyalty-creating effects of 18 possible benefits, which were identified in the in-depth interviews. We asked respondents to rate each benefit on a Likert-type scale, where 1 meant the factor would have no impact on loyalty and 7 meant the factor would have a great impact on loyalty. As shown in Exhibit 4, guests staying in a luxury hotel primarily for business purposes said the following features would have the greatest effect in fostering their loyalty; the features are presented here in descending order for their effect on loyalty. The figure in parenthesis following each feature is the percentage of respondents rating that feature a 7, indicating that they believe it has a great impact on loyalty.

- The hotel provides upgrades (69.4 percent rated this feature a 7);
- You can check in and check out at a time that suits you (59.2 percent);
- The hotel uses information from your prior stays to customize services for you (57.7 percent); You can request a specific room (44.7 percent);
- Employees communicate the attitude that your problems are important to them (42.6 percent); and

- When you return to this hotel, your registration process is expedited (41.1 percent).

Such common approaches as frequent-guest programs (in the absence of the above features) and affinity credit cards (reward cards) appeal strongly only to a small percentage of business-oriented travelers in luxury hotels. The presence of a frequent-guest program was rated a 7 by just 27.8 percent of the respondents and affinity cards earned a 7 from only 19.6 percent of respondents. This result shows that some guests greatly appreciate those programs, although other efforts would cement relationships with an even larger group of guests.

The Loyalty Gap

To understand what hotels are actually doing to build loyalty with their guests, it is useful to undertake a gap analysis. The gap model has been used extensively in the services and marketing arena.[31] Specifically we looked at GAP #5 of the Parasuraman, Berry, and Zeithaml model. This gap is defined as the difference between what the customer wants and what the hotel actually provides. We judged that we might uncover a gap between expectations and action by comparing the percentage of the sample that gave their hotels an excellent performance rating on a given attribute with the percentage that said this attribute was important.

Gap analysis. As shown in Exhibit 5, we have identified what we believe is a tremendous opportunity for hotels to further increase their guests' loyalty. Only one of the 11 features we tested showed a positive gap-that is, performance exceeding expectations. This particular attribute, involving the hotel's external connections that can make the guest's stay more productive, was not among the most important factors for building loyalty. In contrast, the two most important features-providing upgrades when available and allowing the guest to reserve a specific room-showed the largest gaps but are at the same time relatively easy and inexpensive to implement.

The Downside

Although we were not able to measure reactive natural opportunistic behavior (because our sample comprised guests who were loyal to a specific hotel), we attempted to get at this matter by presenting a hypothetical situation in which a hotel increased its rates temporarily because of anticipated demand. The scenario we offered was meant to simulate a situation where the hotel exhibited opportunistic behavior by taking advantage of high occupancy. Respondents were asked a series of questions relating to this situation to see whether they would exhibit any reactive natural opportunistic behavior. You might recognize the following scenario as simulating a badly designed effort at revenue management:

Assume that you go to make a reservation at your favorite luxury hotel and you find out that it is charging you $100 per night more than it usually does because it has only a few rooms left.

As shown by the responses to this scenario in Exhibit 6, the respondents' behavior would change if confronted with the above situation. Such an overt approach to manipulating rates appears to damage the fragile structure of guests' loyalty. These findings suggest that luxury hotels need to be careful when practicing yield management, because inappropriate approaches may drive their loyal customers to consider other hotels. Even if the hotel doesn't lose the guest's business, it seems likely to lose the guest's favorable recommendation.

Implications: Why Loyalty Is Important

Our model uses commitment, or the behavioral outcome of loyalty, as a measure of the strength of customer loyalty, because the behavior of loyal customers makes them valuable. Loyal customers return to make repeat purchases, purchase more of the hotel's products and services (e.g., meals), and perform partnership activities (e.g., serve on advisory panels). Each of the activities performed by loyal customers have substantial financial implications for hotels.

Simply patronizing the hotel is an important function of loyal customers. They like the hotel and will use it. Moreover, our study found a positive relationship between commitment and food and beverage purchases. This means loyal guests are more likely to have breakfast meetings or dinner meetings at the hotel than to use an outside restaurant. The finding supports the work of Reichheld, who identified revenue growth as the most important financial benefit of loyal customers.[32] To illustrate the effect of loyal guests' use of restaurants, say that a 300-room luxury hotel has a 70-percent occupancy with 40 percent of its guests as repeat visitors and average stay of 2.5 days. This hotel will sell 76,650 room-nights a year (300 x .7 x 365). Loyal customers will account for 30,660 (76,650 x .4) of these room-nights during 12,264 visits (30,664 room-nights divided by the average stay of 2.5). Now assume a modest increase in restaurant visits on the part of a loyal customer. Say that, compared to a non-loyal guest, the loyal guest will purchase dinner in the hotel just one more time per every four visits to the hotel. Thus, the hotel would sell 3,066 more dining occasions to loyal customers (12,264/4) than to non-loyal customers. If an average table is two covers, the hotel would serve 6,132 more dinners. Finally, if the average check per person is $75, the hotel would see additional revenue of $459,900 (6,132 x $75). One could carry out a similar exercise with breakfast, meetings, concierge services, and other products.

Loyal customers do more than patronize a hotel; they also encourage other people to try the property. Positive experiences shared by colleagues reduce a person's risk in picking an unknown hotel. Loyal customers create positive word of mouth by being strong advocates for a hotel. Almost one out of five respondents (19.3 percent) strongly

agreed (a rating of 7) that they would go out of their way to mention a hotel to which they were loyal when the topic of hotels came up (a total of 41.5 percent gave a 6 or 7 rating). In addition, respondents stated that they told a mean of 12 people (median 10) positive things about the hotel to which they claimed loyalty. Several years ago Ritz-Carlton placed the value of a loyal customer at more than $100,000.[33] The value of positive word of mouth from loyal customers is shown by calculating the value if every loyal customer tells 10 or 12 other customers about your property and just one of those becomes a loyal customer.

Beyond their patronage, loyal customers provide information to hotels. Some 19 percent of our respondents said they would be willing to serve on an advisory board. Companies in many industries are creating advisory boards from their target customer markets to help guide the business. Talking directly to customers in this manner can save thousands of dollars of marketing research.

Loyal customers are less price sensitive. Reichheld claims that price premiums are a benefit of loyalty.[34] Two questions on our study confirmed that loyal customers seem less sensitive to price offers from competing hotels. Nearly half of our respondents agreed with the proposition, If eel the room rate that I receive will always be fair (47.8 percent of those responding gave this statement a rating of 5, 6, or 7, while only 16 percent assigned a 1, 2, or 3). Even more telling, 34 percent of those responding disagreed with the following statement: In the future, I will stay at this hotel only if its room rates are the same or lower than those of other luxury hotels.

The responses to these questions indicate that loyal customers feel they are getting a fair value. Moreover, almost a third say they would pay a rate premium to stay at a hotel that has earned these travelers' loyalty.

How to Develop Loyalty

So far we have focused on the portion of the loyalty equation that involves offering benefits to guests to encourage their loyalty. Indeed, our survey respondents gave high marks to such features as providing upgrades, allowing flexible check-in and check-out, customizing services, and allowing guests to request a specific room, as well as expediting registration.

Even though some of these features are easy and inexpensive to implement, the majority of the hotels mentioned in this study do not offer their guests such services. Our respondents have already proclaimed their loyalty to these hotels, even though they do not offer the services customers claim they would like. Rather than count on blind loyalty as competition becomes stronger in the luxury segment, hotels should consider providing such benefits to cement guest loyalty.

Building trust

While benefits may be the first major element of loyalty, the second major element of loyalty is trust. That is, the hotel must behave in a reliable fashion. The reliability dimension of trust is important because it cannot be easily copied by competitors, unlike many of the benefits. Robert Shaw, author of the book Trust In Balance, defines trust as the belief that those on whom we depend will meet our expectations of them.[35]

This definition of trust parallels the reliability dimension of trust put forth by Johnson, Swap, and Swap.[36] Trust and reliability undergird the hypothetical question we posed regarding rate manipulation. One can quickly see the result of a hotel's acting in an unreliable fashion.

The results from our initial focus-group discussions support the definitions of trust advanced by Shaw and the Johnson group. When we asked focus-group participants about the elements of trust in a luxury hotel, they responded:

- The hotel does things as promised;
- I feel that my personal property is safe in my room;
- If I receive a fax, I know it will be delivered to my room;
- Employees provide quick (and correct) answers; and
- I trust a hotel that trusts its employees.

Of all the comments regarding trust, we found the last comment to be the most trenchant. The participant who made this comment explained that he witnessed another guest at the hotel become enraged with the front-desk clerk because the clerk could not remove a $30 charge from a folio without a manager's approval despite the fact the guest was a frequent visitor to the hotel. Our respondent remarked that if management could not trust an employee with a $30 decision, how could he feel comfortable leaving a $4,000 computer and other valuables in the guest room?

Shaw suggests three building blocks of a high-trust organization. Those are achieving results, which means following through on business commitments; demonstrating concern, which is respecting the well-being of others; and acting with integrity, which means behaving in a consistent manner. Without these building blocks, an organization cannot build trust.

Results

Hotels fall short of the mark in following through, in our respondents' estimation. Less than half of the respondents (44.5 percent) gave a firm rating of 7 to the proposition, If I ask the front desk to arrange for an airport limousine at 3:00 PM, I know the limousine will be waiting for me at 3:00 PM.

The respondents were even less sanguine about their hotels' reliably delivering other services. For instance, just 31.9 percent gave a 7 rating to this statement: If I make a request at this hotel, no matter how trivial that request, it gets taken care of; 28.8 percent rated the following a 7: When an employee at this hotel says that they will do something, I am sure it will get done; and only 27.3 percent scored a 7 for this statement: If eel that any communication, including reservations, with this hotel will always be accurately received and recorded or filed.

Demonstrating concern

As is the case with following through, hotels have much room to improve the way they demonstrate concern for their guests. This is shown, for instance, by the fact that only 24 percent of the respondents in our study gave a 7 to the statement, Employees (of the luxury hotel to which I am loyal) communicate the attitude that my problems are important to them.

Acting with integrity

Likewise, the respondents believe their favorite hotels could act with more integrity. Many guests, for instance, apparently do not feel comfortable leaving valuables in the room of a hotel that they have patronized frequently. Just 37.8 percent gave a rating of 7 to the statement, If feel comfortable leaving business papers and valuables in my room at this hotel. A smaller percentage, 34.1 percent, strongly agreed with the proposition, If I ask management or an employee a question, I feel they will be truthful with me.

The relatively low scores given by respondents for hotels' performance on each of the three building blocks of trust suggest that a substantial proportion of guests, despite their loyalty to a given hotel, may not completely trust the hotel. Given the importance of trust in building loyalty, hotels should do more to foster feelings of trust in their guests.

Another dimension of trust is the relationship between employees and management. In fact, without employer-employee trust, hotel management will be hard pressed to convince the guest that the hotel is trustworthy, as noted by the participant in our focus group who witnessed the front-desk scene. Although we did not study the dimensions of trust within an organization, readers need to understand that trust starts

within the organization first. For instance, an employee is unlikely to go the extra mile for the guest if she feels she will not be supported by management of the hotel.

Employee behavior

Guests are sensitive to the hotel's treatment of its employees, because guests respond to the way the employees behave toward them. This came out both in our focus group discussions and in our survey. Focus-group participants said they would be loyal to hotels where employees recognize them and call them by name. While this factor didn't score as highly as others in the main study, those respondents gave a high rating to having a hotel where employees communicate the attitude that the guest's problems are important to the employees. Thus, management should strive to create a culture where employees will do what it takes to foster guests' loyalty.

Opportunistic behavior

Yield management appears to be the type of opportunistic behavior that can inhibit guests' trust and loyalty. We are not advocating abandoning these programs, but our results indicate that yield management programs should contain carefully designed fences that will demonstrate to guests that different rates are justified under different circumstances (as the airlines often do by offering better prices for advance bookings, midweek departures, and Saturday night stay-overs). Perhaps yield management should be practiced only on customers with whom the hotel does not seek a relationship based on loyalty.

Inconveniences

Annoyances created by petty hotel policies and procedures can be a barrier to loyalty. Just under half of our respondents stated that their hotel offers a hassle-free stay. This factor also came out in the initial focus-group discussions. Examples of hassles from the focus groups include having to wait for the bell staff to bring ice when the guest could just as easily get it herself (if there were an ice machine nearby) and having to wait in line to check in.

A Complex Matter

In considering the results of this study, one should note that the customer preferences examined in this study are those of luxury-hotel customers whose purpose of stay is primarily business. The factors that foster loyalty among these guests may be different from those of guests who frequent other hotel tiers or those who are traveling chiefly for leisure. While we believe that the antecedents and consequences of loyalty are essentially the same for all customers and all product segments, the specific attributes that develop trust may be different in various product segments or for different guests. We believe that this study should be repeated for other tiers and market segments. We note,

for example, that respondents staying in their favorite luxury hotel primarily for pleasure did, indeed, have different wants and needs than those staying primarily for business, as we mentioned above.

The study provided empirical support for the model of service relationships (Exhibit 3). We believe this study offers clarity regarding the antecedents and consequences of building relationships with business-travel customers in the luxury-hotel segment by establishing standardized regression weights for the proposed relationships in the model.

The study also provided a gap analysis showing which types of benefit and action luxury hotels can provide to build their customers' loyalty. We identified behavioral outcomes of loyalty and demonstrated the potential profitability to hotels of loyal customers. Finally, the study found but did not explore differences between the responses of business travelers and pleasure travelers. In conclusion, the study demonstrates that relationship marketing-and building loyalty-is far more than an episodic or tactical effort. Instead, hotels should take an integrated, strategic approach to fostering customer loyalty.

FOOTNOTES

[1] Frederick E Reichheld and W Earl Sasser, Jr., "Zero Defections: Quality Comes to Services," *Harvard Business Review* 68 (September-October 1990): 105-111.

2 *Ibid.*

[3] Philip Kotler,John T. Bowen, and James C. *Makens, Marketing for Hospitality and Tourism* (Englewood Cliffs, NJ: Prentice Hall, 1996): 355.

[4] David Cravens,"Introduction to Special Issue," *Journal of the Academy of Marketing Science* 23.4 (Fall 1995): 235.

[5] Frederick F. Reichheld and Keith Aspinwall, "Building High-Loyalty Business Systems," *Journal of Retail Banking* (Winter 1993-94): 21-29.

[6] James L. Heskett, Earl W Sasser, Jr., and Leonard A. Schlesinger, *The Service Profit Chain* (New York: Free Press,1997): 22.

[7] Kotler, Bowen, and Makens, 346.

[8] Robert Morgan and Shelby D. Hunt, "The Commitment-Trust Theory of Relationship Marketing,"*Journal of Marketing* 58 (July 1994): pp. 20-38.

[9] Gregory T. Gundlach, S. Ravi Achrol, and John T. Mentzer, "The Structure of Commitment in Exchange,"*Journal of Marketing* 59 (January 1995): pp. 78-92.

[10-11] For example, see: Margaret Beaton and Caron Beaton,"Marrying Service Providers and Their Clients: A Relationship Approach to Services Management,"*Journal of Marketing Management* 11.1-3 (1995): 55-70; and Inge Geyskins,Jan-Benedict Steenkamp, E.M. Steenkamp, Lisa K. Scheer, and Nirmalya Kumar, "The Effects of Trust and Interdependence on Relationship Commitment: A TransAtlantic Study," *International of Research in Marketing* 13 (1996): 303-317.

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[13]J.B. Rotter,"Interpersonal Trust, Trustworthiness, and Gullibility," *American Psychologist* 35 (1980): 1-7.

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[15] Scott W. Kelly and Mark A. Davis,"Antecedents to Customer Expectations for Service Recovery," *Journal of the Academy of Marketing Science* 22 (1994): 52-61.

[16] Hakan Hakansson and Ivan Snehota, *Developing Relationships in Business Networks* (New York: Routledge, 1995).

[17] Dwayne D. Gremler, "The Effects of Satisfaction, Switching Costs, and Interpersonal Bonds on Service Loyalty" (Tucson, AZ: Arizona State University dissertation, 1995).

[18] Boris Kabanoff, Robert Waldersee, and Marcus Cohen,"Espoused Values and Organizational Change Themes," *Academy of Management Journal* 38 (August 1995): 10-75.

[19] Morgan and Hunt, 20-38.

[20]Cathy Enz, *Power Shared Values in the Corporate Culture* (Ann Arbor: UMI Research Press, 1986): 27.

[21] CS. Myers, "Trust, Commitment, and Shared Values in Long-term Relationships in Services Marketing" (Las Vegas: University of Nevada, Las Vegas working paper, 1996).

[22] Reichheld and Sasser, 105-111.

[23] Kelly and Davis, 52-61.

[24] Morgan and Hunt, 26.

[25] See: A. Parasuraman, Leonard L. Berry, and Valerie A. Zeithaml, "Understanding Customer Expectations of Service," *Sloan Management Review* (Spring 1991): 39-48.

[26] The name of the hotel is intentionally omitted.

[27] We selected the hotels jointly with representatives of the travel-research division of American Express. We screened the hotels according to the hotel's Mobil rating and by checking room rates in Reed/Elsevier's Hotel and Travel Index. We limited our sample to business-oriented properties because we wanted a substantial sample of business travelers. Hotel chains that we reviewed included Ritz-Carlton, Four Seasons, Leading Hotels of the World members, and Preferred Hotels members.

[28] See: J.L. Arbuckle, *Amos Users Guide*, Version 3.6 (Chicago: SmallWaters Corporation, 1997); and P Bentler and C. Chou, "Practical Issues in Structural Modeling," *Sociological Methods and Research* 16. 1, pp. 78-117.

[29] P Bentler and D. Bonett, "Significance Tests and Goodness of Fit in the Analysis of Covariance Structures," *Psychological Bulletin* 88 (November 1980): 588-606.

[30] Note that one can compare regression weights in this model because all variables are measured on the same scale.

[31] For example, by: Valerie A. Zeithaml and Mary Jo Bitner, Services Marketing (New York: McGraw-Hill, 1996).

[32] Frederick F. Reichheld, *The Loyalty Effect* (Boston: Harvard Business School Press, 1996): 33-62.

[33] Koder, Bowen, and Makens, 346.

[34] Reichheld, 355.

[35] Robert Shaw, *Trust In Balance: Building Successful Organizations on Results, Integrity, and Concern* (San Francisco:Jossey-Bass, 1997): 22.

[36] George Johnson, Cynthia Swap, and Walter C. Swap, "Measurement of Specific Interpersonal Trust: Construction and Validation of a Scale to Assess Trust in a Specific Other,"*Journal of Personality and Social Psychology* 43.6 (1982): 1306-1317.

QUESTIONS FOR DISCUSSION:

1. Many of you have probably experienced "loyalty" programs yourself, from your credit cards, the airline industry, or even your local coffee house (which might offer you points toward a free cup for each one you purchase). Judging from your own experience only, how effective are these programs at achieving the goal of repeat business? What are some of the pluses and minuses, in your view, of typical loyalty programs? How does your experience compare with these authors' findings?

2. We chose this article in part because it offers a good model of the type of readings you might find valuable as you write your own proposals. How is this source different from more popular sources, such as newspaper articles and websites? Do you think the article is persuasive? What factors add to its credibility? How might you use a source like this to develop your paradigm in your paper?

3. In developing their material, the authors of this article use both survey data and theory. How does one support the other? Which is more persuasive to you and why?

4. One useful aspect of this article is that it offers a model for conducting a business survey. What issues did the authors consider in putting together their surveys? What did they try to do in analyzing them? If you intend to conduct your own survey as part of your project, are there any things they did that you think you should do in yours?

DESIGNS FOR WORKING

Why your bosses want to turn your new office into Greenwich Village.

By Malcolm Gladwell

[Reprinted by permission from Malcolm Gladwell. This piece originally appeared in *The New Yorker* (December 11, 2000)]

In the early nineteen-sixties, Jane Jacobs lived on Hudson Street, in Greenwich Village, near the intersection of Eighth Avenue and Bleecker Street. It was then, as now, a charming district of nineteenth-century tenements and town houses, bars and shops, laid out over an irregular grid, and Jacobs loved the neighborhood. In her 1961 masterpiece, "The Death and Life of Great American Cities," she rhapsodized about the White Horse Tavern down the block, home to Irish longshoremen and writers and intellectuals—a place where, on a winter's night, as "the doors open, a solid wave of conversation and animation surges out and hits you." Her Hudson Street had Mr. Slube, at the cigar store, and Mr. Lacey, the locksmith, and Bernie, the candy-store owner, who, in the course of a typical day, supervised the children crossing the street, lent an umbrella or a dollar to a customer, held on to some keys or packages for people in the neighborhood, and "lectured two youngsters who asked for cigarettes." The street had "bundles and packages, zigzagging from the drug store to the fruit stand and back over to the butcher's," and "teenagers, all dressed up, are pausing to ask if their slips show or their collars look right." It was, she said, an urban ballet. The miracle of Hudson Street, according to Jacobs, was created by the particular configuration of the streets and buildings of the neighborhood. Jacobs argued that when a neighborhood is oriented toward the street, when sidewalks are used for socializing and play and commerce, the users of that street are transformed by the resulting stimulation: they form relationships and casual contacts they would never have otherwise. The West Village, she pointed out, was blessed with a mixture of houses and apartments and shops and offices and industry, which meant that there were always people "outdoors on different schedules and... in the place for different purposes." It had short blocks, and short blocks create the greatest variety in foot traffic. It had lots of old buildings, and old buildings have the low rents that permit individualized and creative uses. And, most of all, it had people, cheek by jowl, from every conceivable walk of life. Sparely populated suburbs may look appealing, she said, but without an active sidewalk life, without the frequent, serendipitous interactions of many different people, "there is no public acquaintanceship, no foundation of public trust, no cross-connections with the necessary people--and no practice or ease in applying the most ordinary techniques of city public life at lowly levels."

Jane Jacobs did not win the battle she set out to fight. The West Village remains an anomaly. Most developers did not want to build the kind of community Jacobs talked about, and most Americans didn't want to live in one. To reread "Death and Life" today, however, is to be struck by how the intervening years have given her arguments a new and unexpected relevance. Who, after all, has a direct interest in creating diverse, vital

spaces that foster creativity and serendipity? Employers do. On the fortieth anniversary of its publication, "Death and Life" has been reborn as a primer on workplace design.

The parallels between neighborhoods and offices are striking. There was a time, for instance, when companies put their most valued employees in palatial offices, with potted plants in the corner, and secretaries out front, guarding access. Those offices were suburbs--gated communities, in fact--and many companies cameo realize that if their best employees were isolated in suburbs they would be deprived of public acquaintanceship, the foundations of public trust, and cross-connections with the necessary people. In the eighties and early nineties, the fashion in corporate America was to follow what designers called "universal planning"--rows of identical cubicles, which resembled nothing so much as a Levittown. Today, universal planning has fallen out of favor, for the same reason that the postwar suburbs like Levittown did: to thrive, an office space must have a diversity of uses--it must have the workplace equivalent of houses and apartments and shops and industry.

If you visit the technology companies of Silicon Valley, or the media companies of Manhattan, or any of the firms that self-consciously identify themselves with the New Economy, you'll find that secluded private offices have been replaced by busy public spaces, open-plan areas without walls, executives next to the newest hires. The hush of the traditional office has been supplanted by something much closer to the noisy, bustling ballet of Hudson Street. Forty years ago, people lived in neighborhoods like the West Village and went to work in the equivalent of suburbs. Now, in one of the odd reversals that mark the current economy, they live in suburbs and, increasingly, go to work in the equivalent of the West Village.

The office used to be imagined as a place where employees punch clocks and bosses roam the halls like high-school principals, looking for miscreants. But when employees sit chained to their desks, quietly and industriously going about their business, an office is not functioning as it should. That's because innovation--the heart of the knowledge economy--is fundamentally social. Ideas arise as much out of casual conversations as they do out of formal meetings. More precisely, as one study after another has demonstrated, the best ideas in any workplace arise out of casual contacts among different groups within the same company. If you are designing widgets for Acme.com, for instance, it is unlikely that a breakthrough idea is going to come from someone else on the widget team: after all, the other team members are as blinkered by the day-to- day demands of dealing with the existing product as you are. Someone from outside Acme.com--your old engineering professor, or a guy you used to work with at Apex.com--isn't going to be that helpful, either. A person like that doesn't know enough about Acme's widgets to have a truly useful idea. The most useful insights are likely to come from someone in customer service, who hears firsthand what widget customers have to say, or from someone in marketing, who has wrestled with the problem of how to explain widgets to new users, or from someone who used to work on widgets a few years back and whose work on another Acme product has given him a fresh perspective.

Innovation comes from the interactions of people at a comfortable distance from one another, neither too close nor too far. This is why--quite apart from the matter of logistics and efficiency--companies have offices to begin with. They go to the trouble of gathering their employees under one roof because they want the widget designers to bump into the people in marketing and the people in customer service and the guy who moved to another department a few years back.

The catch is that getting people in an office to bump into people from another department is not so easy as it looks. In the sixties and seventies, a researcher at M.I.T. named Thomas Allen conducted a decade-long study of the way in which engineers communicated in research-and-development laboratories. Allen found that the likelihood that any two people will communicate drop-off dramatically as the distance between their desks increases: we are four times as likely to communicate with someone who sits six feet away from us as we are with someone who sits sixty feet away. And people seated more than seventy-five feet apart hardly talk at all.

Allen's second finding was even more disturbing. When the engineers weren't talking to those in their immediate vicinity, many of them spent their time talking to people *outside* their company--to their old computer-science professor or the guy they used to work with at Apple. He concluded that it was actually easier to make the outside call than to walk across the room. If you constantly ask for advice or guidance from people inside your organization, after all, you risk losing prestige. Your colleagues might think you are incompetent. The people you keep asking for advice might get annoyed at you. Calling an outsider avoids these problems. "The engineer can easily excuse his lack of knowledge by pretending to be an `expert in something else' who needs some help in `broadening into this new area,'" Allen wrote. He did his study in the days before E-mail and the Internet, but the advent of digital communication has made these problems worse. Allen's engineers were far too willing to go outside the company for advice and new ideas. E-mail makes it even easier to talk to people outside the company.

The task of the office, then, is to invite a particular kind of social interaction--the casual, nonthreatening encounter that makes it easy for relative strangers to talk to each other. Offices need the sort of social milieu that Jane Jacobs found on the sidewalks of the West Village. "It is possible in a city street neighborhood to know all kinds of people without unwelcome entanglements, without boredom, necessity for excuses, explanations, fears of giving offense, embarrassments respecting impositions or commitments, and all such paraphernalia of obligations which can accompany less limited relationships," Jacobs wrote. If you substitute" office" for "city street neighborhood," that sentence becomes the perfect statement of what the modern employer wants from the workplace.

Imagine a classic big-city office tower, with a floor plate of a hundred and eighty feet by a hundred and eighty feet. The center part of every floor is given over to the guts of the building: elevators, bathrooms, electrical, and plumbing systems. Around the core

are cubicles and interior offices, for support staff and lower management. And around the edges of the floor, against the windows, are rows of offices for senior staff, each room perhaps two hundred or two hundred and fifty square feet. The best research about office communication tells us that there is almost no worse way to lay out an office. The executive in one corner office will seldom bump into any other executive in a corner office. Indeed, stringing the exterior offices out along the windows guarantees that there will be very few people within the critical sixty-foot radius of those offices. To maximize the amount of contact among employees, you really ought to put the most valuable staff members in the center of the room, where the highest number of people can be within their orbit. Or, even better, put all places where people tend to congregate--the public areas--in the center, so they can draw from as many disparate parts of the company as possible. Is it any wonder that creative firms often prefer loft-style buildings, which have usable centers?

Another way to increase communication is to have as few private offices as possible. The idea is to exchange private space for public space, just as in the West Village, where residents agree to live in tiny apartments in exchange for a wealth of nearby cafés and stores and bars and parks. The West Village forces its residents outdoors. Few people, for example, have a washer and dryer in their apartment, and so even laundry is necessarily a social event: you have to take your clothes to the Laundromat down the street. In the office equivalent, designers force employees to move around, too. They build in "functional inefficiencies"; they put kitchens and copiers and printers and libraries in places that can be reached only by a circuitous journey.

A more direct approach is to create an office so flexible that the kinds of people who need to spontaneously interact can actually be brought together. For example, the Ford Motor Company, along with a group of researchers from the University of Michigan, recently conducted a pilot project on the effectiveness of "war rooms" in software development. Previously, someone inside the company who needed a new piece of software written would have a series of meetings with the company's programmers, and the client and the programmers would send messages back and forth. In the war-room study, the company moved the client, the programmers, and a manager into a dedicated conference room, and made them stay there until the project was done. Using the war room cut the software-development time by two-thirds, in part because there was far less time wasted on formal meetings or calls outside the building: the people who ought to have been bumping into each other were now sitting next to each other.

Two years ago, the advertising agency TBWA\Chiat\Day moved into new offices in Los Angeles, out near the airport. In the preceding years, the firm had been engaged in a radical, and in some ways disastrous, experiment with a "nonterritorial" office: no one had a desk or any office equipment of his own. It was a scheme that courted failure by neglecting all the ways in which an office is a sort of neighborhood. By contrast, the new office is an almost perfect embodiment of Jacobsian principles of community. The agency is in a huge old warehouse, three stories high and the size of three football fields.

It is informally known as Advertising City, and that's what it is: a kind of artfully constructed urban neighborhood. The floor is bisected by a central corridor called Main Street, and in the center of the room is an open space, with café tables and a stand of ficus trees, called Central Park. There's a basketball court, a game room, and a bar. Most of the employees are in snug workstations known as nests, and the nests are grouped together in neighborhoods that radiate from Main Street like Paris arrondissements. The top executives are situated in the middle of the room. The desk belonging to the chairman and creative director of the company looks out on Central Park. The offices of the chief financial officer and the media director abut the basketball court. Sprinkled throughout the building are meeting rooms and project areas and plenty of nooks where employees can closet themselves when they need to. A small part of the building is elevated above the main floor on a mezzanine, and if you stand there and watch the people wander about with their portable phones, and sit and chat in Central Park, and play basketball in the gym, and you feel on your shoulders the sun from the skylights and listen to the gentle buzz of human activity, it is quite possible to forget that you are looking at an office.

In "The Death and Life of Great American Cities," Jacobs wrote of the importance of what she called "public characters"--people who have the social position and skills to orchestrate the movement of information and the creation of bonds of trust:

A public character is anyone who is in frequent contact withal wide circle of people and who is sufficiently interested to make himself a public character....The director of a settlement on New York's Lower East Side, as an example, makes a regular round of stores. He learns from the cleaner who does his suits about the presence of dope pushers in the neighborhood. He learns from the grocer that the Dragons are working up to something and need attention. He learns from the candy store that two girls are agitating the Sportsmen toward a rumble. One of his most important information spots is an unused breadbox on Rivington Street....A message spoken there for any teen-ager within many blocks will reach his ears unerringly and surprisingly quickly, and the opposite flow along the grapevine similarly brings news quickly in to the breadbox.

A vital community, in Jacobs's view, required more than the appropriate physical environment. It also required a certain kind of person, who could bind together the varied elements of street life. Offices are no different. In fact, as office designers have attempted to create more vital workplaces, they have become increasingly interested in identifying and encouraging public characters.

One of the pioneers in this way of analyzing offices is Karen Stephenson, a business-school professor and anthropologist who runs a New York-based consulting company called Netform. Stephenson studies social networks. She goes into a company--her clients include J. P. Morgan, the Los Angeles Police Department, T.R.W., and I.B.M.--and distributes a questionnaire to its employees, asking about which people they have contact with. Whom do you like to spend time with? Whom do you talk to about new

ideas? Where do you go to get expert advice? Every name in the company becomes a dot on a graph, and Stephenson draws lines between all those who have regular contact with each other. Stephenson likens her graphs to X-rays, and her role to that of a radiologist. What she's depicting is the firm's invisible inner mechanisms, the relationships and networks and patterns of trust that arise as people work together over time, and that are hidden beneath the organization chart. Once, for example, Stephenson was doing an "X-ray" of a Head Start organization. The agency was mostly female, and when Stephenson analyzed her networks she found that new hires and male staffers were profoundly isolated, communicating with the rest of the organization through only a handful of women." I looked at tenure in the organization, office ties, demographic data. I couldn't see what tied the women together, and why the men were talking only to these women," Stephenson recalls. "Nor could the president of the organization. She gave me a couple of ideas. She said, `Sorry I can't figure it out.' Finally, she asked me to read the names again, and I could hear her stop, and she said, `My God, I know what it is. All those women are smokers.'" The X- ray revealed that the men--locked out of the formal power structure of the organization--were trying to gain access and influence by hanging out in the smoking area with some of the more senior women.

What Stephenson's X-rays do best, though, is tell you who the public characters are. In every network, there are always one or two people who have connections to many more people than anyone else. Stephenson calls them "hubs," and on her charts lines radiate out from them like spokes on a wheel. (Bernie the candy-store owner, on Jacobs's Hudson Street, was a hub.) A few people are also what Stephenson calls "gatekeepers": they control access to critical people, and link together a strategic few disparate groups. Finally, if you analyze the graphs there are always people who seem to have lots of indirect links to other people--who are part of all sorts of networks without necessarily being in the center of them. Stephenson calls those people "pulsetakers." (In Silicon Valleyspeak, the person in a sea of cubicles who pops his or her head up over the partition every time something interesting is going on is called a prairie dog: prairie dogs are pulsetakers.)

In the past year, Stephenson has embarked on a partnership with Steelcase, the world's largest manufacturer of office furniture, in order to use her techniques in the design of offices. Traditionally, office designers would tell a company what furniture should go where. Stephenson and her partners at Steelcase propose to tell a company what people should go where, too. At Steelcase, they call this "floor-casting."

One of the first projects for the group is the executive level at Steelcase's headquarters, a five-story building in Grand Rapids, Michigan. The executive level, on the fourth floor, is a large, open room filled with small workstations. (Jim Hackett, the head of the company, occupies what Steelcase calls a Personal Harbor, a black, freestanding metal module that may be--at seven feet by eight--the smallest office of a Fortune 500 C.E.O.) One afternoon recently, Stephenson pulled out a laptop and demonstrated how she had mapped the communication networks of the leadership group

onto a seating chart of the fourth floor. The dots and swirls are strangely compelling—abstract representations of something real and immediate. One executive, close to Hackett, was inundated with lines from every direction. "He's a hub, a gatekeeper, and a pulsetaker across all sorts of different dimensions," Stephenson said. "What that tells you is that he is very strategic. If there is no succession planning around that person, you have got a huge risk to the knowledge base of this company. If he's in a plane accident, there goes your knowledge." She pointed to another part of the floor plan, with its own thick overlay of lines. "That's sales and marketing. They have a pocket of real innovation here. The guy who runs it is very good, very smart." But then she pointed to the lines connecting that department with other departments. "They're all coming into this one place," she said, and she showed how all the lines coming out of marketing converged on one senior executive. "There's very little path redundancy. In human systems, you need redundancy, you need communication across multiple paths." What concerned Stephenson wasn't just the lack of redundancy but the fact that, in her lingo, many of the paths were "unconfirmed": they went only one way. People in marketing were saying that they communicated with the senior management, but there weren't as many lines going in the other direction. The sales-and-marketing team, she explained, had somehow become isolated from senior management. They couldn't get their voices heard when it came to innovation--and that fact, she said, ought to be a big consideration when it comes time to redo the office. "If you ask the guy who heads sales and marketing who he wants to sit next to, he'll pick out all the people he trusts," she said. "But do you sit him with those people? No. What you want to do is put people who don't trust each other near each other. Not necessarily next to each other, because they get too close. But close enough so that when you pop your head up, you get to see people, they are in your path, and all of a sudden you build an inviting space where they can hang out, kitchens and things like that. Maybe they need to take a hub in an innovation network and place the person with a pulsetaker in an expert network--to get that knowledge indirectly communicated to a lot of people."

The work of translating Stephenson's insights onto a new floor plan is being done in a small conference room--a war room--on the second floor of Steelcase headquarters. The group consists of a few key people from different parts of the firm, such as human resources, design, technology, and space-planning research. The walls of the room are cluttered with diagrams and pictures and calculations and huge, blownup versions of Stephenson's X-rays. Team members stress that what they are doing is experimental. They don't know yet how directly they want to translate findings from the communications networks to office plans. After all, you don't want to have to redo the entire office every time someone leaves or joins the company. But it's clear that there are some very simple principles from the study of public characters that ought to drive the design process. "You want to place hubs at the center," Joyce Bromberg, the director of space planning, says. "These are the ones other people go to in order to get information. Give them an environment that allows access. But there are also going to be times that they need to have control—so give them a place where they can get away. Gatekeepers represent the fit between groups. They transmit ideas. They are brokers, so you might

want to put them at the perimeter, and give them front porches"--areas adjoining the workspace where you might put little tables and chairs. "Maybe they could have swinging doors with white boards, to better transmit information. As for pulsetakers, they are the roamers. Rather than give them one fixed work location, you might give them a series of touchdown spots--where you want them to stop and talk. You want to enable their meandering."

One of the other team members was a tall, thoughtful man named Frank Graziano. He had a series of pencil drawings--with circles representing workstations of all the people whose minds, as he put it, he wanted to make "explicit." He said that he had done the plan the night before. "I think we can thread innovation through the floor," he went on, and with a pen drew a red line that wound its way through the maze of desks. It was his Hudson Street.

"The Death and Life of Great American Cities" was a controversial book, largely because there was always a whiff of paternalism in Jacobs's vision of what city life ought to be. Chelsea--the neighborhood directly to the north of her beloved West Village--had "mixtures and types of buildings and densities of dwelling units per acre... almost identical with those of Greenwich Village," she noted. But its long-predicted renaissance would never happen, she maintained, because of the "barriers of long, self-isolating blocks." She hated Chatham Village, a planned "garden city" development in Pittsburgh. It was a picturesque green enclave, but it suffered, in Jacobs's analysis, from a lack of sidewalk life. She wasn't concerned that some people might not want an active street life in their neighborhood; that what she saw as the "self-isolating blocks" of Chelsea others would see as a welcome respite from the bustle of the city, or that Chatham Village would appeal to some people precisely because one did not encounter on its sidewalks a "solid wave of conversation and animation." Jacobs felt that city dwellers belonged in environments like the West Village, whether they realized it or not.

The new workplace designers are making the same calculation, of course. The point of the new offices is to compel us to behave and socialize in ways that we otherwise would not--to overcome our initial inclination to be office suburbanites. But, in all the studies of the new workplaces, the reservations that employees have about a more social environment tend to diminish once they try it. Human behavior, after all, is shaped by context, but how it is shaped--and whether we'll be happy with the result--we can understand only with experience. Jane Jacobs knew the virtues of the West Village because she lived there. What she couldn't know was that her ideas about community would ultimately make more sense in the workplace. From time to time, social critics have bemoaned the falling rates of community participation in American life, but they have made the same mistake. The reason Americans are content to bowl alone (or, for that matter, not bowl at all) is that, increasingly, they receive all the social support they need--all the serendipitous interactions that serve to make them happy and productive--from nine to five.

QUESTIONS FOR DISCUSSION

1. One of the interesting things about Gladwell's essay is the way it gets you to look again at the spaces that surround you everyday: from the city you live in to the school rooms you inhabit. How well are the spaces you live in everyday designed for building trust, engagement, community, and productivity? What could be done to improve those spaces, along the lines that Gladwell discusses?

2. In adapting Jane Jacobs's theories about urban environments to the office place, managers have taken a paradigm from one field and applied it to another. How well does it guide the practice of office design? What parallels between the two does Gladwell draw?

3. Karen Stephenson's study (discussed near the end of the essay) is suggestive of the sort of work you might do yourself to test a hypothesis in the workplace. What other productivity-related issues can you record and measure in order better to understand your workplace or University?

4. If you have been taking this class for at least a week or two, it is likely that relationships and connections have developed in the classroom. And studies have shown that students tend to gravitate to specific areas of the classroom or even specific chairs, unless the teacher requires a special seating arrangement or takes some action to change student's chosen spots. Do you think there is a relationship between where you are sitting and with whom you have a connection—from mere acquaintances, to people you have spoken to outside of class, to people you would consider a friend? How much is the strength of that connection perhaps simply a factor of the physical distance between your chairs?

   Try to replicate Stephenson's study. Distribute a copy of the class roster to everyone in the classroom and have them rate from 0 (no contact) to 5 (friendship) the level of connection they feel with others in the room. Then draw a seating chart on the board and compare some of the numbers that people put down with the physical space between them.

   How well does Stephenson's study hold up for your class? What limited conclusions might you draw from your findings? How might those conclusions help to shape some action to change the dynamic of the classroom for the better, perhaps in order to promote more classroom participation?

THE WORK OF LEADERSHIP

"Leaders do not need to know all the answers. They do need to ask the right questions."

By Ronald A. Heifetz and Donald L. Laurie

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To stay alive, Jack Pritchard had to change his life. Triple bypass surgery and medication could help, the heart surgeon told him, but no technical fix could release Pritchard from his own responsibility for changing the habits of a lifetime. He had to stop smoking, improve his diet, get some exercise, and take time to relax, remembering to breathe more deeply each day. Pritchard's doctor could provide sustaining technical expertise and take supportive action, but only Pritchard could adapt his ingrained habits to improve his long-term health. The doctor faced the leadership task of mobilizing the patient to make critical behavioral changes; Jack Pritchard faced the adaptive work of figuring out which specific changes to make and how to incorporate them into his daily life.

Companies today face challenges similar to the ones confronting Pritchard and his doctor. They face *adaptive challenges*. Changes in societies, markets, customers, competition, and technology around the globe are forcing organizations to clarify their values, develop new strategies, and learn new ways of operating. Often the toughest task for leaders in effecting change is mobilizing people throughout the organization to do adaptive work.

Adaptive work is required when our deeply held beliefs are challenged, when the values that made us successful become less relevant, and when legitimate yet competing perspectives emerge. We see adaptive challenges every day at every level of the workplace--when companies restructure or reengineer, develop or implement strategy, or merge businesses. We see adaptive challenges when marketing has difficulty working with operations, when cross-functional teams don't work well, or when senior executives complain, "We don't seem to be able to execute effectively." Adaptive problems are often systematic problems with no ready answers.

Mobilizing an organization to adapt its behaviors in order to thrive in new business environments is critical. Without such change, any company today would falter. Indeed, getting people to do adaptive work is the mark of leadership in a competitive world. Yet for most senior executives, providing leadership and not just authoritative expertise is extremely difficult. Why? We see two reasons. First, in order to make change happen, executives have to break a long-standing behavior pattern of their own: providing leadership in the form of solutions. This tendency is quite natural because many executives reach their positions of authority by virtue of their competence in taking responsibility and solving problems. But the locus of responsibility for problem solving

when a company faces an adaptive challenge must shift to its people. Solutions to adaptive challenges reside not in the executive suite but in the collective intelligence of employees at all levels, who need to use one another as resources, often across boundaries, and learn their way to those solutions.

Second, adaptive change is distressing for the people going through it. They need to take on new roles, new relationships, new values, new behaviors, and new approaches to work. Many employees are ambivalent about the efforts and sacrifices required of them. They often look to the senior executive to take problems off their shoulders. But those expectations have to be unlearned. Rather than fulfilling the expectation that they will provide answers, leaders have to ask tough questions. Rather than protecting people from outside threats, leaders should allow them to feel the pinch of reality in order to stimulate them to adapt. Instead of orienting people to their current roles, leaders must disorient them so that new relationships can develop. Instead of quelling conflict, leaders have to draw the issues out. Instead of maintaining norms, leaders have to challenge "they way we do business" and help others distinguish immutable values from historical practices that must go.

Drawing on our experience with managers from around the world, we offer six principles for leading adaptive work: "getting on the balcony," identifying the adaptive challenge, regulating distress, maintaining disciplined attention, giving the work back to people, and protecting voices of leadership from below. We illustrate those principles with an example of adaptive change at KPMG Netherlands, a professional-services firm.

Get on the Balcony

Earvin "Magic" Johnson's greatness in leading his basketball team came in part from his ability to play hard while keeping the whole game situation in mind, as if he stood in a press box or on a balcony above the field of play. Bobby Orr played hockey in the same way. Other players might fail to recognize the larger patterns of play that performers like Johnson and Orr quickly understand, because they are so engaged in the game that they get carried away by it. Their attention is captured by the rapid motion, the physical contact, the roar of the crowd, and the pressure to execute. In sports, most players simply may not see who is open for a pass, who is missing a block, or how the offense and defense work together. Players like Johnson and Orr watch these things and allow their observations to guide their actions.

Business leaders have to be able to view patterns as if they were on a balcony. It does them no good to be swept up in the field of action. Leaders have to see a context for change or create one. They should give employees a strong sense of the history of the enterprise and what's good about its past, as well as an idea of the market forces at work today and the responsibility people must take in shaping the future. Leaders must be able to identify struggles over values and power, recognize patterns of work avoidance, and watch for the many other functional and dysfunctional reactions to change.

Without the capacity to move back and forth between the field of action and the balcony, to reflect day to day, moment to moment, on the many ways in which an organization's habits can sabotage adaptive work, a leader easily and unwittingly becomes a prisoner of the system. The dynamics of adaptive change are far too complex to keep track of, let alone influence, if leaders stay only on the field of place.

We have encountered several leaders, some of whom we discuss in this article, who manage to spend much of their precious time on the balcony as they guide their organizations through change. Without that perspective, they probably would have been unable to mobilize people to do adaptive work. Getting on the balcony is thus a prerequisite for following the next five principles.

Identify the Adaptive Change

When a leopard threatens a band of chimpanzees, the leopard rarely succeeds in picking off a stray. Chimps know how to respond to this kind of threat. But when a man with an automatic rifle comes near, the routine responses fail. Chimps risk extinction in a world of poachers unless they figure out how to disarm the new threat. Similarly, when businesses cannot learn quickly to adapt to new challenges, they are likely to face their own form of extinction.

Consider the well-known case of British Airways. Having observed the revolutionary changes in the airline industry during the 1980s, then chief executive Colin Marshall clearly recognized the need to transform an airline nicknamed Bloody Awful by its own passengers into an exemplar of customer service. He also understood that this ambition would require more than anything else changes in values, practices, and relationships throughout the company. An organization whose people clung to functional silos and valued pleasing their bosses more than pleasing customers could not become The World's Favourite Airline. Marshall needed an organization dedicated to serving people, acting on trust, respecting the individual, and making teamwork happen across boundaries. Values had to change throughout the British Airways. People had to learn to collaborate and to develop a collective sense of responsibility for the direction and performance of the airline. Marshall identified the essential adaptive challenge: creating trust throughout the organization. He is one of the first executives we have known to make "creating trust" a priority.

To lead British Airways, Marshall had to get his executive team to understand the nature of the threat created by dissatisfied customers: did it represent a technical challenge or an adaptive challenge? Would expert advice and technical adjustments within the basic routines suffice, or would people throughout the company have to learn new ways of doing business, develop new competencies, and begin to work collectively?

Marshall and his team set out to diagnose in more details the organization's challenges. They looked in three places. First, the listened to the ideas and concerns of

the people inside and outside the organization- meeting with crews on flights, showing up in the 350-person reservation center in New York, wandering around the baggage-handling area in Tokyo, or visiting the passenger lounge in whatever airport they happened to be in. heir primary questions were, Whose values, beliefs, attitudes, or behaviors would have to change in order for progress to take place? What shifts in priorities, resources, and power were necessary? What sacrifices would have to be made and by whom?

Second, Marshall and his team saw conflicts as clues -- symptoms of adaptive challenges. The way conflicts across functions were being expressed were mere surface phenomena: the underlying conflicts about values and norms.

Third, Marshall and his team held a mirror up to themselves, recognizing that they embodied the adaptive challenges facing the organization. Early in the transformation of British Airways, competing values and norms were played out on the executive team in dysfunctional ways that impaired the capacity of the rest of the company to collaborate across functions and units and make the necessary trade-offs. No executive can hide from the fact that his or her team reflects the best and the worst of the company's values and norms, and therefore provides a case in point for insight into the nature of the adaptive work ahead.

Thus, identifying its adaptive challenge was crucial in British Airways' bid to become The World's Favourite Airline. For the strategy to succeed, the company's leaders needed to understand themselves, their people, and the potential sources of conflict. Marshall recognized that strategy development itself requires adaptive work.

Regulate Distress

Adaptive work generates distress. Before putting people to work on challenges doe which there are no ready solutions. A leader must realize that people can learn only so much so fast. At the same time, they must feel the need to change as reality brings new challenges. They cannot learn new ways when they are overwhelmed, but eliminating stress altogether removes the impetus for doing adaptive work. Because a leader must strike a delicate balance between having people feel the need to change and having them feel overwhelmed by change, leadership is a razor's edge.

A leader must attend to three fundamental tasks in order to help maintain a productive level of tension. Adhering to these tasks will allow him or her to motivate people without disabling them.

First, a leader must create what can be called a holding environment. To use the analogy of a pressure cooker, a leader needs to regulate the pressure by turning up the heat while also allowing some steam to escape. If the pressure exceeds the cooker's capacity, the cooker can blow up. However, nothing cooks without some heat.

In the early stages of corporate change, the holding environment can be a temporary "place" in which a leader creates the conditions for diverse groups to talk to one another about the challenges facing them, to frame and debate issues, and to clarify the assumptions behind competing perspectives and values. Over time, more issues can be phased in as they become ripe. At British Airways, for example, the shift from an internal focus to a customer focus took place over four or five years and dealt with important issues in succession: building a credible executive team, communicating with a highly fragmented organization, defining new measures of performance and compensation, and developing sophisticated information systems. During that time, employees at all levels learned to identify what and how they needed to change.

Thus a leader must sequence and pace the work. Too often, senior managers convey that everything is important. They start new initiatives without stopping other activities or they start too many initiatives at the same time. They overwhelm and disorient the very people who need to take responsibility for the work.

Second, a leader is responsible for direction, protection, orientation, managing conflict, and shaping norms. Fulfilling these responsibilities is also important for a manager in technical or routine situations. But a leader engaged in adaptive work uses his authority to fulfill them differently. A leader provides direction by identifying the organization's adaptive challenge and framing the key questions and issues. A leader protects people by managing the rate of change. A leader orients people to new roles and responsibilities by clarifying business realities and key values. A leader helps expose conflict, viewing it as the engine of creativity and learning. Finally, a leader helps the organization maintain those norms that must endure and challenge those that need to change.

Third, a leader must have presence and poise; regulating distress is perhaps a leader's more difficult job. The pressures to restore equilibrium are enormous. Just as molecules bang hard against the walls of a pressure cooker, people bang up against the leaders who are trying to sustain the pressures of tough, conflict-filled work. Although leadership demands a deep understanding of the pain and change- the fears and sacrifices associated with the major adjustment- it also requites the ability to hold steady and maintain the tension. Otherwise, the pressure escapes and the stimulus for learning and change is lost.

A leader has to have the emotional capacity to tolerate uncertainty, frustration, and pain. He has to be able to raise tough questions without getting too anxious himself. Employees as well as colleagues and customers will carefully observe verbal and nonverbal cues to a leader's ability to hold steady. He needs to communicate confidence that he and they can tackle the tasks ahead.

Maintain Disciplined Attention

Different people within the same organization bring different experiences, assumptions, values, beliefs, and habits to their work. This diversity is valuable because innovation and learning are the products of differences. No one learns anything without being open to contrasting points of view. Yet managers at all levels are often unwilling--or unable--to address their competing perspectives collectively. They frequently avoid paying attention to issues that disturb them. They restore equilibrium quickly, often with work avoidance maneuvers. A leader must get employees to confront tough trade-offs in values, procedures, operating styles, and power.

That is as true at the top of the organization as it is in the middle or on the front line. Indeed, if the executive team cannot model adaptive work, the organization will languish. If senior managers can't draw out and deal with diverse issues, how will people elsewhere in the organization change their behaviors and rework their relationships? As Jan Carlzon, the legendary CEO of Scandinavian Airlines System (SAS), told us, "One of the most interesting missions of leadership is getting people on the executive team to listen and learn from one another. Held in debate, people can learn their way to collective solutions when they understand one another's assumptions. The work of the leader is to get conflict out into the open and use it as a source of creativity."

Because work avoidance is rampant in organizations, a leader has to counteract distractions that prevent people from dealing with adaptive issues. Scapegoating, denial, focusing only on today's technical issues, or attacking individuals rather than the perspectives they represent--all forms of work avoidance--are to be expected when an organization undertakes adaptive work. Distractions have to be identified when they occur so that people will regain focus.

When sterile conflict takes the place of dialogue, a leader has to step in and put the team to work on reframing the issues. She has to deepen the debate with questions, unbundling the issues into their parts rather than letting conflict remain polarized and superficial. When people preoccupy themselves with blaming external force, higher management, or heavy workload, a leader has to sharpen the team's sense of responsibility for carving out the time to press forward. When the team fragments and individuals resort to protecting their own turf, leaders have to demonstrate the need for collaboration. People have to discover the value of consulting with one another and using one another as resources in the problem-solving process. For example, one CEO we know uses executive meetings, even those that focus on operational and technical issues, as opportunities to teach the team how to work collectively on adaptive problems.

Of course, only the rare manager *intends* to avoid adaptive work. In general, people feel ambivalent about it. Although they want to make progress on hard problems or live up to their renewed and clarified values, people also want to avoid the associated distress. Just as millions of U.S. citizens want to reduce the federal budget deficit, but

not by giving up the tax dollars or benefits or jobs, so, too, managers may consider adaptive work a priority but have difficulty sacrificing their familiar ways of doing business.

People need leadership to help them maintain their focus on the tough questions. Disciplined attention is the currency of leadership.

Give the Work Back to People

Everyone in the organization has special access to information that comes from his or her particular vantage point. Everyone mat see different needs and opportunities. People who sense early changes in the marketplace are often at the periphery, but the organization will thrive if it can bring that information to bear on tactical and strategic decisions. When people do not act on their special knowledge, businesses fail to adapt.

All to often, people look up to the chain of command, expecting senior management to meet market challenges for which they themselves are responsible. Indeed, the greater and more persistent distresses that accompany adaptive work make such dependence worse. People tend to become passive, and senior managers who pride themselves on being problem solvers take decisive action. That behavior restores equilibrium in the short term but ultimately leads to complacency and habits of work avoidance that shield people from responsibility, pain, and the need to change.

Getting people to assume greater responsibility is not easy. Not only are many lower-level employees comfortable being told what to do, but many managers are accustomed to treating subordinates like machinery requiring control. Letting people take the initiative in defining and solving problems means that management needs to learn to support rather than control. Workers, for their part, need to take responsibility.

Jan Carlzon encouraged responsibility taking at SAS by trusting others and decentralizing authority. A leader has to let people bear the weight of responsibility. "The key is to let them discover the problem," he said. "You won't be successful is people aren't carrying the recognition of the problem and the solution within themselves." To that end, Carlzon sought widespread engagement.

For example, in his first two years at SAS, Carlzon spent up to 50% of his time communicating directly in large meetings and indirectly in a host of innovative ways: through workshops, brainstorming sessions, learning exercises, newsletters, brochures, and exposure in the public media. He demonstrated through a variety of symbolic acts – for example, by eliminating the pretentious executive dining room and burning thousands of pages of manuals and handbooks – the extent to which rules had come to dominate the company. He made himself a pervasive presence, meeting with and listening to people both inside and outside the organization. He even wrote a book, *Moments of Truth*

(Ballinger, 1987), to explain his values, philosophy, and strategy. As Carlzon noted, "If no one else read it, at least my people would."

A leader must also develop collective self-confidence. Again, Carlzon said it well: "People aren't born with self-confidence. Even the most self-confident people can be broken. Self-confidence comes from success, experience, and the organization's environment. The leader's most important role is to instill confidence in people. They must dare to rake risks and responsibility. You must back them up if they make mistakes."

Protect Voices of Leadership from Below

Giving a voice to all people is the foundation of an organization that is willing to experiment and learn. But, in fact, whistle-blowers, creative deviants, and other such original voices routinely get smashed and silenced in organizational life. They generate disequilibrium, and the easiest way for an organization to restore equilibrium is to neutralize those voices, sometimes in the name of teamwork and "alignment."

The voices from below are usually not as articulate as one would wish. People speaking beyond their authority usually feel self-conscious and sometimes have to generate "too much" passion to get themselves geared up for speaking out. Of course, that often makes it harder for them to communicate effectively. They pick the wrong time and place, and often bypass proper channels of communication and lines of authority. But buried inside a poorly packaged interjection may lie an important intuition that needs to be teased out and considered. To toss it out for its bad timing, lack of clarity, or seeming unreasonableness is to lose potentially valuable information and discourage a potential leader in the organization.

That is what happened to David, a manager in a large manufacturing company. He had listened when his supervisors encouraged people to look for problems, speak openly, and take responsibility. So he raised an issue about one of the CEO's pet projects – an issue that was "too hot to handle" and had been swept under the carpet for years. Everyone understood that it was not open to discussion, but David knew that proceeding with the project could damage or derail key elements of the company's overall strategy. He raised the issue directly in a meeting with his boss and the CEO. He provided a clear description of the problem, and a rundown of competing perspectives, and a summary of the consequences of continuing to pursue the project.

The CEO angrily squelched the discussion and reinforced the positive aspects of his pet project. When David and his boss left the room, his boss exploded: "Who do you think you are, with your holier-than-thou attitude?" he insinuated that David never liked the CEO's pet project because David hadn't come up with the idea himself. The subject was closed.

David had greater expertise in the area of the project than either his boss or the CEO. But his two superiors showed no curiosity, no effort to investigate David's reasoning, no awareness that he was behaving responsibly with the interests of the company at heart. It rapidly became clear to David that it was more important to understand what mattered to the boss than to focus on real issues. The CEO and David's boss together squashed the view-point of a leader from below and thereby killed his potential for leadership in the organization. He would either leave the company or never go against the grain again.

Leaders must rely on others within the business to raise questions that may indicate an impending adaptive challenge. They have to provide cover to people who point to the internal contradictions of the enterprise. Those individuals often have the perspective to provoke rethinking that people in authority do not. Thus, as a rule of thumb, when authority figures feel the reflexive urge to glare at or otherwise silence someone, they should resist. The urge to restore social equilibrium is quite powerful, and it comes on fast. One has to get accustomed to getting on the balcony, delaying the impulse, and asking, what *really* is this guy talking about? Is there something we're missing?

Doing Adaptive Work At KPMG Netherlands

The highly successful KPMG Netherlands provides a good example of how a company can engage in adaptive work. In 1994, Ruud Koedijk, the firm's chairman, recognized a strategic challenge. Although the auditing, consulting, and tax-preparation partnership was the industry leader in the Netherlands and was highly profitable, growth opportunities in the segments it served were limited. Margins in the auditing business were being squeezed as the market became more saturated, and competition in the consulting business was increasing as well. Koedijk knew that the firm needed to move into more profitable growth areas, but he didn't know what they were or how KPMG might identify them.

Koedijk and his board were confident that they had the tools to do the analytical strategy work: analyze trends and discontinuities, understand core competencies, asses their competitive position, and map potential opportunities. They were considerably less certain that they could commit to implementing the strategy that would emerge from their work. Historically, the partnership had resisted attempts to change, basically because the partners were content with the way things were. They had been successful for a long time, so they saw no reason to learn new ways of doing business, either from their fellow partners or from anyone lower down in the organization. Overturning the partners' attitude and its deep impact on the organization's culture posed an enormous adaptive challenge for KPMG.

Koedijk could see from the balcony that the very structure of KPMG inhibited change. In truth, KPMG was less a partnership than a collection of small fiefdoms in

which each partner was a lord. The firm's success was the cumulative accomplishment of each of the individual partners, not the unified result of 300 colleagues pulling together toward a shared ambition. Success was measured solely in terms of the profitability of individual units. As one partner described it, "If the bottom line was correct, you were a 'good fellow.'" As a result, one partner would not trespass on another's turf, and learning from others was a rare event. Because independence was so highly valued, confrontations were rare on conflict was camouflaged. If partners wanted to resist firm-wide change, they did not kill the issue directly. "Say yes, do no" was the operative phrase.

Koedijk also knew that this sense of autonomy got in the way of developing new talent at KPMG. Directors rewarded their subordinates for two thins: not making mistakes and delivering a high number of billable hours per week. This emphasis was not on creativity or innovation. Partners were looking for errors when they reviewed their subordinates' work, not for new understanding or fresh insight. Although Koedijk could see the broad outlines of the adaptive challenges facing his organization, he knew that he could not mandate behavior change. What he could do was create the conditions for people to discover for themselves how they needed to change. He set a process in motion to make that happen.

To start, Koedijk held a meeting of all 300 partners and focused their attention on the history of KPMG, the current business reality, and the business issues they could expect to face. He then raised the question of how they would go about changing as a firm and asked for their perspectives on the issues. By launching the strategic initiative through dialogue rather than edict, he built trust within the partner ranks. Based on this emerging trust and his own credibility, Koedijk persuaded the partners to release 100 partners and nonpartners from their day-to-day responsibilities to work on the strategic challenges. They would devote 60% of their time for nearly four months to that work.

Koedijk and his colleagues established a strategic integration team of 12 senior partners to work with the 100 professionals (called "the 100") from different levels and disciplines. Engaging people from below the rank of partner in a major strategic initiative was unheard of and signaled a new approach from the start: many of these people's opinions had never before been valued or sought by authority figures in the firm. Divided into 14 task forces, the 100 were to work in three areas: gauging future trends and discontinuities, defining core competencies, and grappling with the adaptive challenges facing the organization. They were housed on a separate floor with their own support staff, and they were unfettered by the traditional rules and regulations. Hennie Both, KPMG's director of marketing and communications, signed on as project manager.

As the strategy work got under way, the task forces had to confront the existing KPMG culture. Why? Because they literally could not do their new work within the old rules. They could not work when strong respect for the individual came at the expense of effective teamwork, when deeply held individual beliefs got in the way of genuine

discussion, and when unit loyalties formed a barrier to cross-functional problem solving. Worst of all, task force members found themselves avoiding conflict and unable to discuss those problems. A number of the task forces became dysfunctional and unable to do their strategy work.

To focus their attention on what needed to change, Both helped the task forces map the culture they desired against the current culture. The discovered very little overlap. The top descriptors of the current culture were: develop opposing views, demand perfection, and avoid conflict. The top characteristics of the desired culture were: create the opportunity for self-fulfillment, develop a caring environment, and maintain trusting relations with colleagues. Articulating this gap made tangible for the group the adaptive challenge that Koedijk saw facing KPMG. In other words, *the people who needed to do the changing had finally framed the adaptive challenge for themselves:* How could KPMG succeed at a competence-based strategy that depended on cooperation across multiple units and layers if its people couldn't succeed in these task forces? Armed with that understanding, the task force members could become emissaries to the rest of the firm.

On a more personal level, each member was asked to identify his or her *individual* adaptive challenge. What attributes, behaviors, or habits did each one need to change, and what specific actions would he or she take? Who else needed to be involved for individual change to take root? Acting as coaches and consultants, the task force members gave one another supportive feedback and suggestions. They had learned to confide, to listen, and to advise with genuine care.

Progress on these issues raised the level of trust dramatically, and task force members began to understand what adapting their behavior meant in everyday terms. They understood how to identify an adaptive issue and developed a language with which to discuss what they needed to do to improve their collective ability to solve problems. They talked about dialogue, work avoidance, and using the collective intelligence of the group. They knew how to "call" one another on dysfunctional behavior. They had begun to develop the culture required to implement the new business strategy.

Despite the critical breakthroughs towards developing a collective understanding of the adaptive challenge, regulating the level of distress was a constant preoccupation for Koedijk, the board, and Both. The nature of the work was distressing. Strategy work means broad assignments with limited instructions; at KPMG, people were accustomed to highly structured assignments. Strategy work also means being creative. At one breakfast meeting, a board members stood on a table to challenge the group to be more creative and toss aside old rules. This radical and unexpected behavior further raised the distress level: no one had ever seen a partner behave this way before. People realized that their work experience had prepared them for only performing routine tasks with people "like them" from their own units.

The process allowed for conflict and focused people's attention on the hot issues in order to help them learn how to work with conflict in a constructive manner. But the heat was kept within a tolerable range in some of the following ways:

- On one occasion when tensions were unusually high, the 100 were brought together to voice their concerns to the board in an Oprah Winfrey-style meeting. The board sat in the center of an auditorium and took pointed questions from the surrounding group.

- The group devised sanctions to discourage unwanted behavior. In the soccer-crazed Netherlands, all participants in the process were issued the yellow cards that soccer referees use to indicate "foul" to offending players. They used the cards to stop the action when someone started arguing his or her point without listening to or understanding the assumptions and competing perspectives of other participants.

- The group created symbols. They compared the old KPMG to a hippopotamus that was large and cumbersome, liked to sleep a lot, and became aggressive when its normal sleeping habits were disturbed. They aspired to be dolphins, which they characterized as playful, eager to learn, and happy willing to go the extra mile for the team. They even paid attention to the statement that clothes make: it surprised some clients to see managers wandering through the KPMG offices that summer in Bermuda shorts and T-shirts.

- The group made a deliberate point of having fun. "Playtime" could mean a long bicycle ride or laser-gun games at a local amusement center. In one spontaneous moment at the KPMG offices, a discussion of the power of people mobilized towards a common goal led the group to go outside and use their collective leverage to move a seemingly immovable concrete block.

- The group attended frequent two-and three-day off-site meetings to help bring closure to parts of the work.

These actions, taken as a whole, changed attitudes and behaviors. Curiosity became more valued than obedience to rules. People no longer deferred to the senior authority figure in the room; genuine dialogue neutralized hierarchical power in the battle over ideas. The tendency for each individual to promote his or her pet solution gave way to understanding of other perspectives. A confidence in the ability of people in different units to work together and work things out emerged. The people with the most curious minds and interesting questions soon became the most respected.

As a result of confronting strategic and adaptive challenges, KPMG as a whole will move from an auditing to assurance, from operations consulting to shaping corporate vision, from business-process reengineering to developing organizational capabilities,

and from teaching traditional skills to its own clients to creating learning organizations. The task forces identified $50 million to $60 million worth of new business opportunities.

Many senior partners who had believed that a firm dominated by the auditing mentality could not contain creative people were surprised when the process unlocked creativity, passion, imagination, and a willingness to take risks. Two stories illustrate the fundamental changes that took place in the firm's mind-set.

We saw one middle manager develop the confidence to create a new business. He spotted the opportunity to provide KPMG services to virtual organizations and strategic alliances. He traveled the world, visiting the leaders of 65 virtual organizations. The results of his innovative research served as a resource to KPMG in entering this growing market. Moreover, he represented the new KPMG by giving a keynote address discussing his findings at a world forum. We also saw a 28-year-old female auditor skillfully guide a group of older, male senior partners through a complex day of looking at opportunities associated with implementing the firm's new strategies. That could not have occurred the year before. The senior partners never would have listened to such a voice from below.

Leadership as Learning

Many efforts to transform organizations through mergers and acquisitions, restructuring, reengineering, and strategy work falter because managers fail to grasp the requirements of adaptive work. They make the classic error of treating adaptive challenges like technical problems that can be solved by tough-minded senior executives.

The implications of that error go to the heart of the work of leaders in organizations today. Leaders crafting strategy have access to the technical expertise and the tools they need to calculate the benefits of a merger or restructuring, understand future trends and discontinuities, identify opportunities, map existing competencies, and identify the steering mechanism to support their strategic direction. These tools and techniques are readily available both within organizations and from a variety of consulting firms, and they are very useful. In many cases, however, seemingly good strategies fail to be implemented. And often the failure is misdiagnosed: "We had a good strategy, but we couldn't execute it effectively."

In fact, the strategy itself is often deficient because too many perspectives were ignored during its formulation. The failure to do the necessary adaptive work during the strategy development process is a symptom of senior managers' technical orientation. Managers frequently derive "their" solution to a problem and then try to "sell" it to some colleagues and bypass or sandbag others in the commitment-building process. Too often, leaders, their team, and consultants fail to identify and tackle the adaptive dimensions of the challenge and to ask themselves, Who needs to learn what to develop, understand, commit to, and implement the strategy?

The same technical orientation entraps restructuring and business-process-reengineering initiatives, in which consultant and managers have the know-how to do the technical work of framing the objectives, designing a new work flow, documenting and communicating results, and identifying the activities to be performed by people in the organization. In many instances, reengineering falls short of the mark because it treats process redesign as a technical problem: managers neglect to identify the adaptive work and involve the people who have to do the changing. Senior executives fail to invest their time and their soul in understanding these issues and guiding people through the transition. Indeed, *engineering* itself is the wrong metaphor.

In short, the prevailing notion that leadership consists of having a vision and aligning people with that vision is bankrupt because it continues to treat adaptive situations as if they were technical: the authority figure is supposed to divine where the company is going, and people are supposed to follow. Leadership is reduced to a combination of grand knowing and salesmanship. Such a perspective reveals a basic misconception about the way businesses succeed in addressing adaptive challenges. Adaptive situations are hard to define and resolve precisely because they demand the work and responsibility for the problematic situations that face them.

Leadership has to take place every day. It cannot be the responsibility of the few, a rare event, or a once-in-a-lifetime opportunity. In our world, in our businesses, we have adaptive challenges all the time. When an executive is asked to square conflicting aspirations, he and his people face an adaptive challenge. When a manager sees a solution to a problem – technical in many respects except that it requires a change in the attitudes and habits of subordinates – she faces an adaptive challenge. When an employee close to the front line sees a gap between the organization's purpose and the objectives he is asked to achieve, he faces both an adaptive challenge and the risks and opportunity of leading from below.

Leadership, as seen in this light, requires a learning strategy. A leader, from above or below, with or without authority, has to engage people in confronting the challenge, adjusting their values, changing perspectives, and learning new habits. To an authoritative person who prides himself on his ability to tackle hard problems, this shift may come as a rude awakening. But it also should ease the burden of having to know all the answers and dear all the load. To the person who waits to receive either the coach's call or "the vision" to lead, this change may also seem a mixture of good news and bad news. The adaptive demands of out time require leaders who take responsibility without waiting for revelation or request. One can lead with no more than a question in hand.

QUESTIONS FOR DISCUSSION

1. Heifetz and Laurie suggest, though, that everyone within an organization should be able to assume leadership roles. Does that mean everyone within an organization should be encouraged to write proposals? Can you write a project proposal without assuming a position of leadership in some way? Would a proposal that *did not* assume leadership be as effective as one that did?

2. According to Heifetz and Laurie, why shouldn't leaders be the only active parties in making decisions within an organization? Why is it important to recruit the participation and "leadership" of subordinates?

3. How is Heifetz and Laurie's non-traditional understanding of leadership in keeping with their emphasis more on paradigm shifts than on paradigms? Why are "voices from below" especially valuable during times of change? How can paradigms enforced from above stifle change within an organization? And what effect can that have on an organization's long-term viability?

ABSOLUTE POWERPOINT

Can a software package edit our thoughts?

By Ian Parker

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Before there were presentations, there were conversations, which were a little like presentations but used fewer bullet points, and no one had to dim the lights. A woman we can call Sarah Wyndham, a defense-industry consultant living in Alexandria, Virginia, recently began to feel that her two daughters weren't listening when she asked them to clean their bedrooms and do their chores. So, one morning, she sat down at her computer, opened Microsoft's PowerPoint program, and typed:

FAMILY MATTERS
An approach for positive change
to the Wyndham family team.

On a new page, she wrote:

- Lack of organization leads to confusion and frustration among family members.
- Disorganization is detrimental to grades and to your social life.
- Disorganization leads to inefficiencies that impact the entire family.

Instead of pleading for domestic harmony, Sarah Wyndham was pitching for it. Soon she had eighteen pages of large type, supplemented by a color photograph of a generic happy family riding bicycles, and, on the final page, a drawing of a key-the key to success. The briefing was given only once, last fall. The experience was so upsetting to her children that the threat of a second showing was enough to make one of the Wyndham girls burst into tears.

PowerPoint, which can be found on two hundred and fifty million computers around the world, is software you impose on other people. It allows you to arrange text and graphics in a series of pages, which you can project, slide by slide, from a laptop computer onto a screen, or print as a booklet (as Sarah Wyndham did). The usual metaphor for everyday software is the tool, but that doesn't seem to be right here. PowerPoint is more like a suit of clothes, or a car, or plastic surgery. You take it out with you. You are judged by it-you insist on being judged by it. It is by definition a social instrument, turning middle managers into bullet-point dandies.

But PowerPoint also has a private, interior influence. It edits ideas. It is, almost surreptitiously, a business manual as well as a business suit, with an opinion-an oddly pedantic, prescriptive opinion-about the way we should think. It helps you make a case, but it also makes its own case: about how to organize information, how much information

to organize, how to look at the world. One feature of this is the AutoContent Wizard, which supplies templates-"Managing Organizational Change" or "Communicating Bad News," say -that are so close to finished presentations you barely need to do more than add your company logo. The "Motivating a Team" template, for example, includes a slide headed "Conduct a Creative Thinking Session":

- Ask: In what ways can we....?
  - Assess the situation. Get the facts.
  - Generate possible solutions with green light, nonjudgmental thinking.
  - Select the best solution.

The final injunction is "Have an inspirational close."

It's easy to avoid these extreme templates-many people do-as well as embellishments like clip art, animations, and sound effects. But it's hard to shake off AutoContent's spirit: even the most easy going PowerPoint template insists on a heading followed by bullet points, so that the user is shepherded toward a staccato, summarizing frame of mind, of the kind parodied, for example, in a PowerPoint Gettysburg Address posted on the Internet: "Dedicate portion of field-fitting!"

Because PowerPoint can be an impressive antidote to fear -- converting public-speaking dread into moviemaking pleasure-there seems to be no great impulse to fight this influence, as you might fight the unrelenting animated paperclip in Microsoft Word. Rather, PowerPoint's restraints seem to be soothing-so much so that where Microsoft has not written rules, businesses write them for themselves. A leading U.S. computer manufacturer has distributed guidelines to its employees about PowerPoint presentations, insisting on something it calls the "Rule of Seven": "Seven (7) bullets or lines per page, seven (7) words per line."

Today, after Microsoft's decade of dizzying growth, there are great tracts of corporate America where to appear at a meeting without PowerPoint would be unwelcome and vaguely pretentious, like wearing no shoes. In darkened rooms at industrial plants and ad agencies, at sales pitches and conferences, this is how people are communicating: no paragraphs, no pronouns-the world condensed into a few upbeat slides, with seven or so words on a line, seven or so lines on a slide. And now it's happening during sermons and university lectures and family arguments, too. A New Jersey PowerPoint user recently wrote in an online discussion, "Last week I caught myself planning out (in my head) the slides I would need to explain to my wife why we couldn't afford a vacation this year." Somehow, a piece of software designed, fifteen years ago, to meet a simple business need has become a way of organizing thought at kindergarten show-and-tells. "Oh, Lord," one of the early developers said to me. "What have we done?"

Forty years ago, a workplace meeting was a discussion with your immediate colleagues. Engineers would meet with other engineers and talk in the language of engineering. A manager might make an appearance - acting as an interpreter, a bridge to the rest of the company - but no one from the marketing or production or sales

department would be there. Somebody might have gone to the trouble of cranking out mimeographs-that would be the person with purple fingers.

But the structure of American industry changed in the nineteen-sixties and seventies. Clifford Nass, who teaches in the Department of Communication at Stanford, says, "Companies weren't discovering thing sin the laboratory and then trying to convince consumers to buy them. They were discovering-or creating-consumer demand, figuring out what they can convince consumers they need, then going to the laboratory and saying, `Build this!' People were saying, `We can create demand. Even if demand doesn't exist, we know how to market this.' SpaghettiOs is the great example. The guy came up with the jingle first: `The neat round spaghetti you can eat with a spoon.' And he said, `Hey! Make spaghetti in the shape of small circles!' "

As Jerry Porras, a professor of organizational behavior and change at Stanford Graduate School of Business, says, "When technologists no longer just drove the product out but the customer sucked it out, then you had to know what the customer wanted, and that meant a lot more interaction inside the company." There are new conversations: Can we make this? How do we sell this if we make it? Can we do it in blue?

America began to go to more meetings. By the early nineteen-eighties, when the story of PowerPoint starts, employees had to find ways to talk to colleagues from other departments, colleagues who spoke a different language, brought together by SpaghettiOs and by the simple fact that technology was generating more information. There was more to know and, as the notion of a job for life eroded, more reason to know it.

In this environment, visual aids were bound to thrive. In 1975, fifty thousand overhead projectors were sold in America. By 1985, that figure had increased to more than a hundred and twenty thousand. Overheads, which were developed in the mid-forties for use by the police, and were then widely used in bowling alleys and schools, did not fully enter business life until the mid-seventies, when a transparency film that could survive the heat of a photocopier became available. Now anything on a sheet of paper could be transferred to an overhead slide. Overheads were cheaper than the popular alternative, the 35-mm. slide (which needed graphics professionals), and they were easier to use. But they restricted you to your typewriter's font -- rather, your secretary's typewriter's font – or your skill with Letraset and a felt-tipped pen. A businessman couldn't generate a handsome, professional-looking font in his own office.

In 1980, though, it was clear that a future of widespread personal computers- and laser printers and screens that showed the very thing you were about to print-was tantalizingly close. In the Mountain View, California, laboratory of Bell-Northern Research, computer-research scientists had set up a great mainframe computer, a graphics workstation, a phototypesetter, and the earliest Canon laser printer, which was the size of a bathtub and took six men to carry into the building-together, a cumbersome approximation of what would later fit on a coffee table and cost a thousand dollars. With much trial and error, and jogging from one room to another, you could use this collection of machines as a kind of word processor.

Whitfield Diffie had access to this equipment. A mathematician, a former peacenik, and an enemy of exclusive government control of encryption systems, Diffie had secured a place for himself in computing legend in 1976, when he and a colleague, Martin Hellman, announced the discovery of a new method of protecting secrets electronically-public-key cryptography. At Bell-Northern, Diffie was researching the security of telephone systems. In 1981, preparing to give a presentation with 35-mm. slides, he wrote a little program, tinkering with some graphics software designed by a B.N.R. colleague, that allowed you to draw a black frame on a piece of paper. Diffie expanded it so that the page could show a number of frames, and text inside each frame, with space for commentary around them. In other words, he produced a storyboard-a slide show on paper-that could be sent to the designers who made up the slides, and that would also serve as a script for his lecture. (At this stage, he wasn't photocopying what he had produced to make overhead transparencies, although scientists in other facilities were doing that.) With a few days' effort, Diffie had pointed the way to PowerPoint.

Diffie has long gray hair and likes to wear fine English suits. Today, he works for Sun Microsystems, as an internal consultant on encryption matters. I recently had lunch with him in Palo Alto, and for the first time he publicly acknowledged his presence at the birth of PowerPoint. It was an odd piece of news: as if Lenin had invented the stapler. Yes, he said, PowerPoint was "based on" his work at B.N.R. This is not of great consequence to Diffie, whose reputation in his own field is so high that he is one of the few computer scientists to receive erotically charged fan mail. He said he was "mildly miffed" to have made no money from the PowerPoint connection, but he has no interest in beginning a feud with an old friend. "Bob was the one who had the vision to understand how important it was to the world," he said. "And I didn't."

Bob is Bob Gaskins, the man who has to take final responsibility for the drawn blinds of high-rise offices around the world and the bullet points dashing across computer screens inside. His account of PowerPoint's parentage does not exactly match Diffie's, but he readily accepts his former colleague as "my inspiration." In the late nineteen-seventies and early eighties, Gaskins was B.N.R.'s head of computer-science research. A former Berkeley Ph.D. student, he had a family background in industrial photographic supplies and grew up around overhead projectors and inks and gels. In 1982, he returned from a six-month overseas business trip and, with a vivid sense of the future impact of the Apple Macintosh and of Microsoft's Windows (both of which were in development), he wrote a list of fifty commercial possibilities-Arabic typesetting, menus, signs. And then he looked around his own laboratory and realized what had happened while he was away: following Diffie's lead, his colleagues were trying to make overheads to pitch their projects for funding, despite the difficulties of using the equipment. (What you saw was not at all what you got.) "Our mainframe was buckling under the load," Gaskins says.

He now had his idea: a graphics program that would work with Windows and the Macintosh, and that would put together, and edit, a string of single pages, or "slides." In 1984, he left B.N.R., joined an ailing Silicon Valley software firm, Forethought, in exchange for a sizable share of the company, and hired a software developer, Dennis

Austin. They began work on a program called Presenter. After a trademark problem, and an epiphany Gaskins had in the shower, Presenter became PowerPoint.

Gaskins is a precise, bookish man who lives with his wife in a meticulously restored and furnished nineteenth-century house in the Fillmore district of San Francisco. He has recently discovered an interest in antique concertinas. When I visited him, he was persuaded to play a tune, and he gave me a copy of a forthcoming paper he had co-written: "A Wheatstone Twelve-Sided `Edeophone' Concertina with Pre-MacCann Chromatic Duet Fingering." Gaskins is skeptical about the product that PowerPoint has become-AutoContent and animated fades between slides-but he is devoted to the simpler thing that it was, and he led me through a well-preserved archive of PowerPoint memorabilia, including the souvenir program for the PowerPoint reunion party, in 1997,which had a quiz filled with in-jokes about font size and programming languages. He also found an old business plan from 1984. One phrase-the only one in italics-read, "Allows the content-originator to control the presentation." For Gaskins, that had always been the point: to get rid of the intermediaries-graphic designers-and never mind the consequences. Whenever colleagues sought to restrict the design possibilities of the program (to make a design disaster less likely), Gaskins would overrule them, quoting Thoreau: "I came into this world, not chiefly to make this a good place to live in, but to live in it, be it good or bad."

PowerPoint 1.0 went on sale in April, 1987-availableonly for the Macintosh, and only in black-and-white. It generated text-and-graphics pages that a photocopier could turn into overhead transparencies. (This was before laptop computers and portable projectors made PowerPoint a tool for live electronic presentations. Gaskins thinks he may have been the first person to use the program in the modern way, in a Paris hotel in1992-which is like being the first person ever to tap a microphone and say, "Can you hear me at the back?") The Macintosh market was small and specialized, but within this market PowerPoint-the first product of its kind-was a hit. "I can't describe how wonderful it was," Gaskins says. "When we demonstrated at tradeshows, we were mobbed." Shortly after the launch, Forethought accepted an acquisition offer of fourteen million dollars from Microsoft. Microsoft paid cash and allowed Bob Gaskins and his colleagues to remain partly self-governing in Silicon Valley, far from the Microsoft campus, in Redmond, Washington. Microsoft soon regretted the terms of the deal; PowerPoint workers became known for a troublesome independence of spirit (and for rewarding themselves, now and then, with beautifully staged parties-caviar, string quartets, Renaissance-period fancy dress).

PowerPoint had been created, in part, as a response to the new corporate world of interdepartmental communication. Those involved with the program now experienced the phenomenon at first hand. In 1990, the first PowerPoint for Windows was launched, alongside Windows 3.0. And PowerPoint quickly became what Gaskins calls "a cog in the great machine." The PowerPoint programmers were forced to make unwelcome changes, partly because in 1990 Word, Excel, and PowerPoint began to be integrated into Microsoft Office-a strategy that would eventually make PowerPoint invincible-and partly in response to market research. AutoContent was added in the mid-nineties, when

Microsoft learned that some would-be presenters were uncomfortable with a blank PowerPoint page-it was hard to get started. "We said, `What we need is some automatic content!' " a former Microsoft developer recalls, laughing. " `Punch the button and you'll have a presentation.' " The idea, he thought, was "crazy." And the name was meant as a joke. But Microsoft took the idea and kept the name-a rare example of a product named in outright mockery of its target customers.

Gaskins left PowerPoint in 1992, and many of his colleagues followed soon after. Now rich from Microsoft stock, and beginning the concertina-collecting phase of their careers, they watched as their old product made its way into the heart of American business culture. By 1993, PowerPoint had a majority share of the presentation market. In 1995, the average user created four and a half presentations a month. Three years later, the monthly average was nine. PowerPoint began to appear in cartoon strips and everyday conversation. A few years ago, Bob Gaskins was at a presentations-heavy conference in Britain. The organizer brought the proceedings to a sudden stop, saying, "I've just been told that the inventor of PowerPoint is in the audience-will he please identify himself so we can recognize his contribution to the advancement of science?" Gaskins stood up. The audience laughed and applauded.

Cathleen Belleville, a former graphic designer who worked at PowerPoint as a product planner from 1989to 1995, was amazed to see a clip-art series she had created become modern business icons. The images were androgynous silhouette stick figures (she called them Screen Beans), modeled on a former college roommate: a little figure clicking its heels; another with an inspirational light bulb above its head. One Screen Bean, the patron saint of PowerPoint-a figure that stands beneath a question mark, scratching its head in puzzlement-is so popular that a lawyer at a New York firm who has seen many PowerPoint presentations claims never to have seen one without the head-scratcher. Belleville herself has seen her Beans all over the world, reprinted on baseball caps, blown up fifteen feet high in a Hamburg bank. "I told my mom, `You know, my artwork is in danger of being more famous than the "Mona Lisa." ` " Above the counter in a laundromat on Third Avenue in New York, a sign explains that no responsibility can betaken for deliveries to doorman buildings. And there, next to the words, is the famous puzzled figure. It is hard to understand the puzzlement. Doorman? Delivery? But perhaps this is simply how a modern poster clears its throat: Belleville has created the international sign for "sign."

According to Microsoft estimates, at least thirty million PowerPoint presentations are made every day. The program has about ninety-five per cent of the presentations-software market. And so perhaps it was inevitable that it would migrate out of business and into other areas of our lives. I recently spoke to Sew Meng Chung, a Malaysian research engineer living in Singapore who got married in 1999. He told me that, as his guests took their seats for a wedding party in the Goodwood Park Hotel, they were treated to a PowerPoint presentation: a hundred and thirty photographs-one fading into the next every four or five seconds, to musical accompaniment. "They were baby photos, and courtship photos, and photos taken with our friends and family," he told me.

I also spoke to Terry Taylor, who runs a Web site called eBibleTeacher.com, which supplies materials for churches that use electronic visual aids. "Jesus was a storyteller, and he gave graphic images," Taylor said. "He would say, `Consider the lilies of the field, how they grow,' and all indications are that there were lilies in the field when he was talking, you know. He used illustrations." Taylor estimates that fifteen per cent of American churches now have video projectors, and many use PowerPoint regularly for announcements, for song lyrics, and to accompany preaching. (Taylor has seen more than one sermon featuring the head-scratching figure.) Visitors to Taylor's site can download photographs of locations in the Holy Land, as well as complete PowerPoint sermons-for example, "Making Your Marriage Great":

- Find out what you are doing to harm your marriage and heal it!
  - Financial irresponsibility.
  - Temper.
  - Pornography.
  - Substance abuse.
  - You name it!

When PowerPoint is used to flash hymn lyrics, or make a quick pitch to a new client, or produce an eye-catching laundromat poster, it's easy to understand the enthusiasm of, say, Tony Kurz, the vice-president for sales and marketing of a New York-based Internet company, who told me, "I love PowerPoint. It's a brilliant application. I can take you through at exactly the pace I want to take you." There are probably worse ways to transmit fifty or a hundred words of text, or information that is mainly visual-ways that involve more droning, more drifting. And PowerPoint demands at least some rudimentary preparation: a PowerPoint presenter is, by definition, not thinking about his or her material for the very first time. Steven Pinker, the author of "The Language Instinct" and a psychology professor at the Massachusetts Institute of Technology, says that PowerPoint can give visual shape to an argument. "Language is a linear medium: one damn word after another," he says. "But ideas are multidimensional. . . . When properly employed, PowerPoint makes the logical structure of an argument more transparent. Two channels sending the same information are better than one."

Still, it's hard to be perfectly comfortable with a product whose developers occasionally find themselves trying to suppress its use. Jolene Rocchio, who is a product planner for Microsoft Office (and is upbeat about PowerPoint in general), told me that, at a recent meeting of a nonprofit organization in San Francisco, she argued against a speaker's using PowerPoint at a future conference. "I said, `I think we just need her to get up and speak.' " On an earlier occasion, Rocchio said, the same speaker had tried to use PowerPoint and the projector didn't work, "and everybody was, like, cheering. They just wanted to hear this woman speak, and they wanted it to be from her heart. And the PowerPoint almost alienated her audience."

This is the most common complaint about PowerPoint. Instead of human contact, we are given human display. "I think that we as a people have become unaccustomed to having real conversations with each other, where we actually give and take to arrive at

anew answer. We present to each other, instead of discussing," Cathy Belleville says. Tad Simons, the editor of the magazine Presentations (whose second-grade son used PowerPoint for show-and-tell), is familiar with the sin of triple delivery, where precisely the same text is seen on the screen, spoken aloud, and printed on the handout in front of you (the "leave-behind," as it is known in some circles). "The thing that makes my heart sing is when somebody presses the `B' button and the screen goes black and you can actually talk to the person," Simons told me.

In 1997, Sun Microsystems' chairman and C.E.O., Scott McNealy, "banned" PowerPoint (a ban widely disregarded by his staff). The move might have been driven, in part, by Sun's public-relations needs as a Microsoft rival, but, according to McNealy, there were genuine productivity issues. "Why did we ban it? Let me put it this way: If I want to tell my forty thousand employees to attack, the word `attack' in ASCII is forty-eight bits. As a Microsoft Word document, it's 90,112 bits. Put that same word in a PowerPoint slide and it becomes 458,048 bits. That's a pig through the python when you try to send it over the Net. "McNealy's concern is shared by the American military. Enormously elaborate PowerPoint files (generated by presentation-obsessives-so-called PowerPoint Rangers) were said to be clogging up the military's bandwidth. Last year, to the delight of many under his command, General Henry H. Shelton, the chairman of the Joint Chiefs of Staff, issued an order to U.S. bases around the world insisting on simpler presentations.

PowerPoint was developed to give public speakers control over design decisions. But it's possible that those speakers should be making other, more important decisions. "In the past, I think we had an inefficient system, where executives passed all of their work to secretaries," Cathy Belleville says. "But now we've got highly paid people sitting there formatting slides-spending hours formatting slides-because it's more fun to do that than concentrate on what you're going to say. It would be much more efficient to offload that work onto someone who could do it in a tenth of the time, and be paid less. Millions of executives around the world are sitting there going, `Arial? Times Roman? Twenty-four point? Eighteen point?' "

In the glow of a PowerPoint show, the world is condensed, simplified, and smoothed over-yet bright and hyperreal-like the cityscape background in a PlayStation motor race. PowerPoint is strangely adept at disguising the fragile foundations of a proposal, the emptiness of a business plan; usually, the audience is respectfully still (only venture capitalists dare to dictate the pace of someone else's slide show), and, with the visual distraction of a dancing pie chart, a speaker can quickly move past the laughable flaw in his argument. If anyone notices, it's too late-the narrative presses on.

Last year, three researchers at Arizona State University, including Robert Cialdini, a professor of and the author of "Influence: Science and Practice," conducted an experiment in which they presented three groups of volunteers with information about Andrew, a fictional high-school student under consideration for a university football scholarship. One group was given Andrew's football statistics typed on a piece of paper.

The second group was shown bar graphs. Those in the third group were given a PowerPoint presentation, in which animated bar graphs grew before their eyes.

Given Andrew's record, what kind of prospect was he? According to Cialdini, when Andrew was PowerPointed, viewers saw him as a greater potential asset to the football team. The first group rated Andrew four and a half on a scale of one to seven; the second rated him five; and the PowerPoint group rated him six. PowerPoint gave him power. The experiment was repeated, with three groups of sports fans that were accustomed to digesting sports statistics; this time, the first two groups gave Andrew the same rating. But the group that saw the PowerPoint presentation still couldn't resist it. Again, Andrew got a six. PowerPoint seems to be a way for organizations to turn expensive, expert decision-makers into novice decision-makers. "It's frightening," Cialdini says. He always preferred to use slides when he spoke to business groups, but one high-tech company recently hinted that his authority suffered as a result. "They said, `You know what, Bob? You've got to get into PowerPoint, otherwise people aren't going to respond.' So I made the transfer."

Clifford Nass has an office overlooking the Oval lawn at Stanford, a university where the use of PowerPoint is so widespread that to refrain from using it is sometimes seen as a mark of seniority and privilege, like egg on one's tie. Nass once worked for Intel, and then got a Ph.D. in sociology, and now he writes about and lectures on the ways people think about computers. But, before embarking on any of that, Professor Nass was a professional magician-Cliff Conjure-so he has some confidence in his abilities as a public performer.

According to Nass, who now gives PowerPoint lectures because his students asked him to, PowerPoint "lifts the floor" of public speaking: a lecture is less likely to be poor if the speaker is using the program. "What PowerPoint does is very efficiently deliver content," Nass told me. "What students gain is a lot more information-not just facts but rules, ways of thinking, examples." At the same time, PowerPoint "lowers the ceiling," Nass says. "What you miss is the process. The classes I remember most, the professors I remember most, were the ones where you could watch how they thought. You don't remember what they said, the details. It was `What an elegant way to wrap around a problem!' PowerPoint takes that away. PowerPoint gives you the outcome, but it removes the process."

"What I miss is, when I used to lecture without PowerPoint, every now and then I'd get a cool idea," he went on. "I remember once it just hit me. I'm lecturing, and all of a sudden I go, `God! "The Wizard of Oz"! The scene at the end of "The Wizard of Oz"!'" Nass, telling this story, was almost shouting. (The lecture, he later explained, was about definitions of "the human" applied to computers.) "I just went for it-twenty-five minutes. And to this day students who were in that class remember it. That couldn't happen now: `Where the hell is the slide?' "

PowerPoint could lead us to believe that information is all there is. According to Nass, PowerPoint empowers the provider of simple content (and that was the task Bob

Gaskins originally set for it), but it risks squeezing out the provider of process-that is to say, the rhetorician, the storyteller, the poet, the person whose thoughts cannot be arranged in the shape of an AutoContent slide. "I hate to admit this," Nass said, "but I actually removed a book from my syllabus last year because I couldn't figure out how to PowerPoint it. It's a lovely book called `Interface Culture,' by Steven Johnson, but it's very discursive; the charm of it is the throwaways. When I read this book, I thought, "My head's filled with ideas, and now I've got to write out exactly what those ideas are, and-they're not neat." He couldn't get the book into bullet points; every time he put something down, he realized that it wasn't quite right. Eventually, he abandoned the attempt, and, instead of a lecture, he gave his students a recommendation. He told them it was a good book, urged them to read it, and moved on to the next bullet point.

QUESTIONS FOR DISCUSSION

1. Throughout his article, Parker is critical of the way PowerPoint has provided so many preformatted presentations through the AutoContent Wizard. Why have business people found this a useful feature of the program? And why does this trouble Parker? What larger problem does he see growing out of PowerPoint's cultural hegemony? And are people in the business world more or less likely to agree with him over time?

2. Do you find Parker's critique of the AutoContent Wizard persuasive? Is it likely to affect the way you use PowerPoint yourself? If yes, how so? For example, are you now more or less likely to use the 'Screen Beans' cartoon characters?

3. Parker's history of PowerPoint can be read as a history of "paradigm formation" (or "paradigm shift") within organizational culture. What drove that shift? What part did technology play in the change? What factors had to come together to make PowerPoint possible? How can it serve as a model for developing other successful products?

4. Parker is especially critical of the culture of active presentation and passive reception that PowerPoint breeds, in his view. Why is this a problem, for example, in a college course? Why should it trouble us, according to Parker, that people seem to deliver and attend more 'presentations' than 'conversations'? What is the difference between the two, and why is it important to Parker? Do you agree with the assumptions about the way the world should be that his distinction suggests?

5. The experiment involving the high-school student 'Andrew' giving a presentation seems an especially interesting example in Parker's article. What conclusions are we expected to draw from this example? How might this example affect the way you watch other students' presentations in this course?

Chapter Three

The Resume and Cover Letter

The Assignment

Prepare a resume and cover letter in response to a specific, published job posting or advertisement. I recommend you use a posting in a newspaper or on the internet so that you can offer a print copy. You must bring in a copy of the job listing for peer revision day and hand it in with your final assignment.

Unless your instructor chooses to set forth more specific guidelines, here is the assignment:

- Each document must be one page only (unless your instructor indicates otherwise).
- You must turn in the job announcement with your assignment or it is incomplete.
- These documents should be prepared according to standards discussed in class.
- They should be proofread closely so that there are no errors in either document.
- The assignment and any drafts discussed in class must be turned in according to the schedule set by your instructor. If you fail to turn in the assignment on time or if you fail to have a sufficient draft for peer revision, it will affect your grade for the assignment.

Students must bring the job advertisement on the day of peer revision, since without it peers and instructors cannot judge audience expectations. The resume should be ordered in a way that best responds to the potential employer's needs, and the cover letter should offer significant details distinguishing the candidate and highlighting aspects of the resume in a way that clearly responds to those needs. The cover letter should offer a high level of detail and should interpret the resume for the potential employer.

I am always surprised by the level of error on the resume, which ought to have absolutely no errors of syntax, grammar, consistency, or sense. Errors in consistency (in spacing, parallel form, layout, and capitalization) are especially prevalent. General sloppiness or failure to adhere to accepted principles (such as using active verbs) will definitely factor into your grade.

Sample Resumes and Cover Letters

The following comments and questions will help you think about the sample resumes and cover letters.

Joel Anderson

After meeting Sara Creighton at a career fair, Joel Anderson submitted this cover letter and resume. Notice how Joel followed recommended guidelines in organizing his cover letter. The introductory paragraph identifies the position sought and forecasts the letter's content. The second paragraph discusses Joel's qualifications for the internship position. The final paragraph requests an interview and states Joel's phone number and email address. Likewise, Joel's resume is clearly organized and balanced in format.

However, upon closer examination, we see the substance of Joel's letter and resume require revision. How might Joel better tailor his letter to his audience? How could Joel more accurately forecast the key points of his letter in the introductory paragraph? How could he be more specific when describing the skills he has developed? Where would transitions help to better show the logic between his ideas? What unnecessary words could Joel eliminate? Which skills do you confidently believe Joel has? Why? How might the concluding paragraph more politely and confidently request an interview? What revisions would you suggest to improve Joel's resume to make it clearer and more specific? Remember that details lead the reader to conclude that the writer is a terrific job candidate; telling the reader "I am terrific" is unconvincing.

Joan Parker

Joan's experience seems appropriate to the internship. But has Joan's letter emphasized her most relevant experience? What could the writer have done to be more specific in the letter? What abilities is the employer most likely looking for in a job candidate? How might Joan better tailor her letter to highlight these abilities? How could the resume be improved?

Lynn Cato

Lynn has the benefit of varied experience in the area of animal handling. She runs the risk, therefore, of simply listing her many credentials and missing out on the opportunity to present herself—her motivations and concerns. However, she does a fairly good job responding to items in the job description and presenting her enthusiastic and caring personality. Notice the third paragraph, where she describes her reaction to a problem she saw in the waiting room. Although she does not mention the term "self-motivation," she gives an example of that term in action when she talks about the seminars she developed to teach children about animal care. What better information could she have listed as a bullet under her work for Dr. Morris, rather than the obvious "updated pet records?" One would assume any veterinary receptionist would have to do that.

Gregory Benjamin

Gregory does a nice job balancing his construction experience with his academic experience in his cover letter. Although he has only worked for one company, he stresses his varied work experience and ties it in nicely with his Public Health major. He forestalls any concerns that the owner of Robbyns' Restoration and Roofing might have about his being able to handle both school and work by showing that he has already been doing that very well, and gaining valuable time management skills. He even emphasizes that his organizational skills will help the company stay on schedule and improve customer relations. He presents himself as a superior candidate; that might seem brash, but the details he provides back up his claim. What do you think about the tone of the letter? How might his confidence appeal to or annoy his potential employer? When would this tone be appropriate, and when might it backfire?

Steven S. Adamo

Steven's resume and cover letter show how a student can tailor coursework to meet an employer's needs. What abilities can we assume the employer is looking for in a job candidate? How does Steven present his coursework as work experience? How might Steven express himself more concisely? In the third paragraph, how do the skills Steven describes give further evidence that he is a good worker? How might Steven shift this paragraph from "telling" the reader he is a problem solver to "showing" the reader he is a problem solver?

Candice Common

Notice how Candice's cover letter effectively expands on her resume, describing key details of her employment history. How does Candice frame these details around a potential employer's interests in the second and third paragraph? For example, why might an employer be especially interested in the "strong clientele" Candice can build? How does Candice preview these key ideas in her introduction? What transitional phases show the logic between Candice's ideas? Examine how Candice uses these phrases to link the chronology of her employment history and to link her cosmetic abilities to her business skills. What do you think about the letter's tone? Are you convinced that Candice has the abilities she lists in her cover letter and resume? Why?

A Problem of Coherence

How could the central paragraph of the letter be made more coherent, so that it is not merely additive ("In addition," "Also," "And") but instead makes a coherent statement about what the candidate offers?

11111 RPO Way
New Brunswick, NJ 08901

July 21, 2001

Ms. Sara Creighton
Financial Representative
Northwestern Mutual
New Brunswick, NJ 08901

Dear Sara Creighton,

After briefly speaking with you at the Rutgers Career Fair, I am now interested in an intern position at Northwestern Mutual following the spring semester of 2002. I have carefully read through the information packets that you have given to me, and I think I have the skills that your firm seeks.

Employment as a customer service representative for a commercial bank has allowed me to learn the importance of being a team player. In addition, I've worked at Bloomburg where I had the opportunity to work within a large company doing projects for four different departments. Also, these projects strengthened my computer skills with Microsoft Word, Access, and Excel. And I'd like to add that various times throughout this internship I went beyond what was expected in my duties in order to make sure that projects would succeed.

I am seeking a position that would offer challenge and continued growth opportunity. My passion for doing the job right and taking on responsibilities and challenges make me a strong candidate for this position. I would also strive to make lasting improvements and to work in whatever capacity necessary to succeed. You can contact me at 555-555-5555 and at JLA99@eden.rutgers.edu.

Sincerely,

Joel Anderson

Enclosure

JOEL ANDERSON

JLA99@eden.rutgers.edu

CAMPUS ADDRESS
Rutgers University
11111 RPO Way
New Brunswick, NJ 08901
(732) 111-1111

PERMANENT ADDRESS
41 Allen Court
Ramsey, NJ 07013
(201) 111-1111

EDUCATION:

Rutgers University, New Brunswick, NJ
B.A. Marketing, May 2004
G.P.A.: 3.7

EXPERIENCE:

USAA Bank, Ramsey, NJ *July 2000-Present*
Customer Service Representative

- Participate in weekly meetings.
- Process various financial transactions for customers.
- Resolve customer inquiries and questions about their accounts using CRT System.
- Collect data to create reports in Access and Excel.
- Assist the bank's personal banking representatives and investment specialist to increase sales and profit by promoting the bank's products and services.
- Recognized formally with two appreciation awards.

Bloomburg, New York, NY *June-August 1999*
Summer Intern

- Provided weekly reports via Access and imported to Excel.
- Presented ways of improving website to managers and implemented those changes by working with other employees and using HTML.
- Researched E-commerce companies on the Internet.

Outback Steakhouse, Edgewater, NJ *May 1998-Aug. 1998*
Waiter

- Developed good working habits in a fast-paced environment.
- Responsibilities included: making sure weekly schedules were fair and organized, looking after the upkeep of the floor, hosting.

SKILLS:

Microsoft Windows, Microsoft Office, Internet Explorer, HTML
Strong interpersonal skills, superior oral and written communication skills, excellent work ethic.

Major Problems of Specificity and Emphasis

Joan's letter is so general that it could apply to anyone. How can the writer use evidence from the resume to offer specific details about her abilities? Looking at the resume, what major problems do you see? What parts of the resume deserve more emphasis and which deserve less? What part ought to be fleshed out to emphasize her experience with real world projects even in the classroom?

122 George Street
New Brunswick, NJ 08901

February 4, 2003

Mr. James Barra
Air Cruisers
PO Box 180
Belmar, NJ 07719

Dear Mr. Barra,

I am very interested in working as an Industrial Engineer for your company this summer. I learned of the position from the Internship Guide provided by the Career Services at Rutgers University.

I will be completing my third year as an Industrial Engineering student at Rutgers. I have taken and excelled at manufacturing, work design, and other courses that relate directly to this position and which included real world experience with design projects performed for area businesses. These projects have provided me with knowledge and experience in the practical applications of engineering. I would like to use this knowledge and experience to benefit your company.

I have encloses a copy of my resume which further describes my educational background as well as my work experience. I look forward to hearing from you soon. Thank you for your time and consideration.

Sincerely,

Joan Parker

Joan Parker

CAMPUS ADDRESS
Rutgers University
11111 BPO Way
New Brunswick, NJ 08901
(732) 777-1111

PERMANENT ADDRESS
419 College Avenue
Pittsburgh, PA 88888
(814) 111-1111

EDUCATION: Rutgers University, College of Engineering. **New Brunswick, NJ**
B.S. Industrial Engineering, expected May 2003
G.P.A.: 3.29

HONORS: Dean's List, Fall 2000, Spring 2001 through Fall 2002
Edward Bloustein Distinguished Scholar
Member, Alpha Pi Mu, Industrial Engineering Honor Society

RELEVANT COURSEWORK: Work Design and Ergonomics-***Fabric Co. Consulting Project,*** Deterministic Models in Operations Research-***Optimization Project,*** Manufacturing Processes-***Salt Shaker Design Project,*** Engineering Probability-***Bakery Consulting Project,*** Design of Mechanical Components-***Duplexer Device Design Project,*** Accounting for Engineers, Intermediate Statistical Analysis

EXPERIENCE:

Byers Engineering Co., Somerset, NJ, July 2002-Present
Administrative Assistant
- Aided in the operation of an engineering office.

Six Flags Great Adventure, Jackson, NJ, Summers 1999-2001
Security Officer
- Screened incoming park guests.
- Responsible for the handling and logging in of confiscated materials.
- Maintained appropriate safety and security conditions.
- Trained new officers.

Express, East Brunswick, NJ, June 1997-October 1999
Retail Salesperson
- Provided customer service.
- Assisted with merchandise displays.
- Trained new employees.

COMPUTER SKILLS:

BASIC	C	SIMON	Word
FORTRAN	LINDO	Excel	Symphony

ACTIVITIES: Member, Society of Women Engineers.

Job Advertisement:
VETERINARY ASSISTANT: part-time, flexible hours. Must be reliable, self-motivated, people and animal friendly. Good experience for pre-vet students. Call us at 888-888-8888.

Campus P. O. Box 867
Forrest Glen, DC 88888

April 20, 2003

Dr. Gilbert Sullivan
Companion Animal Hospital
824 Poplar Street
Hillside, DC 98888

Dear Dr. Sullivan:

I would like to be considered for the position of veterinary assistant. I learned of this opportunity from your advertisement in the *Halcyon Press* of April 19, 2003. I am currently a third year pre-veterinary major attending Halcyon University, and I would love to take advantage of the wonderful learning experience working at your hospital would bring. I feel that I could contribute to your practice and relate to your patients in a caring and professional way.

I have previously worked with veterinarians for both small and large animals at school and during the summers. I have learned valuable customer relations skills in dealing with pet owners at veterinary clinics, and also at the kennel where I work to provide people with calm, well-behaved dogs. Currently, I am enrolled in a class that allows the students to do tests on a group of twelve foals in addition to training them. I have taken blood from these foals for glucose tolerance tests and assisted in ultra-sounding them for body fat. Along with my work with Drs. Morris and Bell, I have also visited the Pennsylvania Equine Center and spent the day with one of their vets, Dr. Josiah Brennan. I assisted in a castration and helped him with the various patients he had that day. In the past few years I have worked with a wide variety of animals including horses, dairy cows, dogs, cats, and sheep. Simply, I enjoy helping all animals in any way I can.

At the last veterinary clinic where I worked, I noticed that the children in the waiting room often did not know how to behave around other people's pets—or even their own! With the support of Dr. Morris, I developed a series of seminars to train children of pet owners how to care for and be affectionate with their animal companions. I also taught them how to behave around a strange animal. These seminars were well-received by the children, their parents, and the clinic staff. I am enclosing a copy of my resume, which provides more information about my motivation and my ability to work well with people and their animal friends. I can be reached at 888-009-4573 or at lynncato@cl.com. I look forward to hearing from you. Thank you for your time and consideration.

Sincerely,
Lynn H. Cato

Lynn H. Cato

lynncato@cl.com

Present
Haclion University
Campus PO Box 867
Forrest Glen, DC 88888
(888) 009-4573

Permanent
298 S. 18th Ave.
Catesville, PA 10324
(764)-000-9087

EDUCATION

Haclion University, Forrest Glen, DC
Pre-Veterinary Major, Equine Science Minor,
Expected date of graduation: May 2003. GPA: 3.2

HONORS

Haclion Distinguished Scholar, 2001, 2002

RELEVANT COURSES

Animal Science, Animal Nutrition, Animal Reproduction, Dairy Cow & Horse Handling, Horse Management, Animal Problems

EXPERIENCE

Kennel Manager/Dog Trainer, Summer 2001-Present
Noah's Ark, Brattington, VA
- Responsible for care and exercising of all boarded dogs
- Ran dog obedience classes
- Aided visiting veterinarians and groomers

Volunteer/Assistant, Summer 2000
Dr. Maria Bell, Equine Veterinarian, Owens, VA
- Performed flex tests on horses to check for lameness
- Assisted in ultrasounding mares to check for pregnancy

Barn Manager/Horse Trainer, Summer 1999
Turnaround Farm, Catesville, PA
- Responsible for feeding and exercising of about forty horses
- Trained various horses for hunter/jumper competitions
- Taught beginner lessons
- Assisted visiting veterinarians and farriers
- Groomed at various horse events and shows
- Helped customers find an appropriate mount

Veterinary Assistant/Receptionist, 1998-1999
Dr. Bernard A. Morris, Catesville, PA
- Assisted during small animal surgeries
- Responsible for feeding and bathing dogs and cats
- Wrote letters to clients and updated pet records

SKILLS

Microsoft Word, Microsoft Excel, Access, Internet

ACTIVITIES

Haclion Student Safety-Mounted Patrol, Fall 1999-Present
- Patrol campus on horses and report problems to police

Member, Animal Science Club, Fall 1999-Present
Member, Catesville Equestrian Team, 1995-1998

Haclion University
Campus P. O. Box 984
Forrest Glen, DC 88888
February 5, 2003

Mr. Howard Robbyns
Robbyns' Restoration and Roofing Co.
197 Essex Street
Hillside, DC 98888

Job Advertisement:
Needed: Field Supervisor.
2-3 years experience with
roofing and remodeling required.
Ability to speak Spanish a plus.
Bring resume and references to:
Robbyns' Restoration and
Roofing, 197 Essex Street,
Hillside, DC 98888. EOE

Dear Mr. Robbyns:

I am writing to express my interest in the position of field supervisor for your company. I learned of the opening from the February 4, 2003, *Washington Post* classifieds and feel that I am a superior candidate for this job. I can offer you my knowledge of onsite safety and my hand-on experience in construction, as well as my ability to work well with a variety of people.

For several years I have been a supervisor for Herb Chundley Construction, a company handling the remodeling and renovations of homes and modular units. I have worked on several large projects as well as smaller scaled jobs and have dealt with the completion of several projects at the same time. The leadership qualities I have learned over the years will be invaluable in a supervisory position. Both on the job and as a member of Labor Union #934, I have learned how to deal with a diverse group of people at many levels: labor, management, and customer. In addition to having a working knowledge of Spanish, I am fluent in Polish. Most of the projects I have worked on involved either remodeling or installing and repairing different kinds of roofing, both shingle and tar. Being quite familiar with the tools and machinery needed for tasks at hand, I will be able to inform and assist workers with any difficulties they may encounter.

My on the job experiences have led me to a firm commitment to providing a safe working environment, something which my coursework in Public Health and Environmental Science at Haclion University has reinforced. My experience and training will aid in the prevention of job-site accidents. In order to work fulltime and take a fulltime courseload, I have had to develop my organizational and scheduling skills, something which will further help me complete all site-work on time. As I have learned, staying close to or ahead of schedule is one of the best ways we can promote customer satisfaction and increase repeat business.

I have enclosed a copy of my resume that shows my work and academic experience. Please contact me at handygreg@cl.com to set up an interview. Larry Anthony of Local # 934 (888-009-5893) and Herb Chundley (888-009-7032) have offered to provide references for me. Feel free to call them. I look forward to hearing from you.

Sincerely,
Gregory J. Benjamin

GREGORY J. BENJAMIN

handygreg@cl.com | (888) 009-4708
Haclion University, Campus P. O. Box 983, Forrest Glen, DC 88888

OBJECTIVE: Seeking a supervisory position in the field of construction with emphasis on roofing and exterior remodeling.

ABILITIES:

- Skilled at organizing projects and estimating time of completion.
- Speak Spanish and Polish.
- Knowledge of all types of excavation and remodeling techniques.
- Experience in organizing productive crews for job sites.
- Skill with all types of saws and tools needed for repair and remodeling
- Proficient knowledge of Microsoft Excel and Microsoft Access.
- Experience in customer relations.
- Certified in CPR and Lifesaving since 2000.

EXPERIENCE: **Member of Labor Union #934, District of Columbia**

Herb Chundley Construction: *Fall 2001-Present*

- Remodeled homes and modular units, including the interior, exterior, and roofing.
- Organized separate projects according to time, amount of labor, and cost of materials and labor.
- Developed time-saving techniques in a safe working environment.
- Organized extremely large project including the renovation of five multifamily homes.
- Organized large projects at multiple mobile home complexes.
- Supervisor of several large projects dealing with roofing and siding on several different style homes and other types of buildings.

EDUCATION: **Haclion University, Forrest Glen, DC** *Fall 1999-Present*

Public Health Major. GPA: 3.5 Major GPA: 3.92

- Courses in Environmental Science and Public Health
- Courses dealing with environmental hazards and precautions and also public safety and awareness.
- Attended several work safety seminars including jobsites located at DC Civic Center, Capitol Hill Complex, and Metro Recycling.

21 Cedarville Ave.
Piscataway, NJ 08940

May 7, 2003

Newton Manufacturing, Inc.
178 Technology Plaza
Fairfield, NJ 65746

Dear Director of Human Resources:

A posting in *The Star Ledger* on March 3, 2003 attracted my attention. I saw that your company desires to hire a systems engineer to develop models for more efficient manufacturing of products for the health industry. I believe my education and work experiences make me a strong candidate for the position, and I hope you will concur.

Later this month I will graduate from Rutgers University, School of Engineering with a B.S. degree in Industrial and Systems Engineering. During my four years at Rutgers, I have completed the full range of courses needed to begin a career. For your needs, two courses have special relevance. Production Control was a course where I learned that perfection is essential when the manufactured product is intended to remedy life-threatening illnesses. Simulation Modeling was another course of significant importance. In that class and lab, we developed prototypes to prepare for actual manufacturing.

In conjunction with my course work, I have been working part-time for Audio Hearing Instruments for the past two years. The tasks I have been responsible for have given me practical experience in solving problems relating to worker efficiency and attention to details.

I hope this letter and the attached resume persuade you that I am a strong candidate for the systems engineer position. An opportunity to meet with you for an interview for the position would be greatly appreciated. You can contact me by phone at (732) 555-1234 or by email: sadam@eden.rutgers.edu. Thank you for you consideration.

Sincerely,

Steven S. Adamo

Steven S. Adamo

21 Cedarville Ave.
Piscataway, NJ 08940
(732) 555-1234
sadam@eden.rutgers.edu

Objective

To obtain an entry-level position requiring strong analytical and organizational skills in a manufacturing engineering environment.

Education

Rutgers University, School of Engineering
B.S., Industrial and Systems Engineering, May 2003
GPA 3.65

Relevant Coursework

Manufacturing Processes	Production Control
Design of Engineering Systems	Manufacturing Facility Layout
Engineering Probability	Computer Controlled Manufacturing
Simulation Modeling	Quality Control/Design of Experiments

Computer Skills

Software: Microsoft Word, Excel, Access, Power Point
Micrografx, Stat-grahix, Arena/SIMAN, TK Solver
Languages: Fortran, C++

Experience

Dec. 2002 to Present

Audio Hearing Instruments, Manufacturing Support Group, Manville, NJ
Industrial and Systems Engineer Intern
- Perform time studies for floor-plan design and assembly line layouts
- Designed fixture/tools for process improvement
- Manage process database
- Provide support to international facilities

Sept. 2001 to Dec. 2001

International Rope Connector
Senior Project
- Group leader of four person engineering team
- Design/constructed/tested universal connector
- Determined facility layout and process for mass production

May 1999 to Sept. 2000

Williams Lumber Company, Sussex, NJ
Truck Driver
- Delivered lumber and other building supplies to construction sites
- Developed communication skills

Awards and Affiliations

N.J. Science Scholar Award 2002
School of Engineering Scholar 2001
Association of Industrial Engineers

123 Castlepoint Terrace
Hoboken, NJ 07030

March 19, 2003

P.O. Box 221
New York, New York 10002

Re: Job ID#23344

To whom it may concern,

I saw your ad at Monster.com, and I noticed that you are requiring a responsible yet out-going individual to oversee your new cosmetic line in New York. Launching a new line requires an individual who is capable of dealing with the multiple responsibilities, such as make-up artistry, a willingness to learn new information, mathematical knowledge for placing orders and budgeting, managerial experience, sales experience, and sociability to help build the client base. I feel that I have the skills and experience that will be required of launching your line in New York.

Currently the counter manager for "Poppy," a budding Australian cosmetics line at Barneys, I have seen the initial difficulties that can come with launching an international cosmetic line, but I also know of the great satisfaction that eventually comes with overseeing the rise of success. With "Poppy" I have not only-built a strong clientele for the line by proving my abilities with the customers, but also with being personable. I am not only their make-up artist providing a service but also a friend. Having worked with cosmetics for a year and a half-now, I have gone from being a novice to an expert in the field - from working as a sales person, to working on movie sets, photo shoots and weddings. As in my resume, my mathematical skills were also put to the test with the two inventories I had to execute, as well as maintain an accurate stock book. I also assisted with the launch of another new cosmetics line at Barneys- "Cargo." As their resident make-up artist, I coupled my enthusiasm with my artistic ability to boost sales by 45%, as well as create a niche for a once unknown cosmetic line in New York.

My skills in cosmetics as well as business are a unique combination that would prove useful in launching and overseeing your line in New York. I would like to have the opportunity of interviewing in person, so that I may show you a photo-portfolio of my work. I will contact you tomorrow to set up a date at your convenience. Thank you for your time and consideration.

Sincerely,

Candice Common

Candice Common

Objective

Seeking a fulfilling account executive position for a budding cosmetic company.

Experience

February 2002-Current Poppy Cosmetics Inc. New York, NY

Poppy Counter Manager

- Maintained a cosmetic counter at Barneys NY.
- Acted as a liaison between store buyers and cosmetic vendors.
- Established a strong niche for the new line by building a strong clientele list.
- Produced special events to promote sales and knowledge of the line throughout the department as well as with clients.
- Organized, prepared and executed the last two inventories.
- Responsible for a 30% increase in projected sales through makeovers.

October 2000-February 2002 Cargo Cosmetics Inc. New York, NY

Resident Make-up Artist

- Responsible for the professional application of make-up for all of Cargo's clientele at Barneys NY.
- Increased sales by over 45%.
- Built an extensive clientele list.

July 1999-October 1999 Estee Lauder Seattle, WA

Sales Associate

- Consistently ranked first as part of the sales staff at Nordstrom's.
- Assisted in cosmetic training and promotions throughout the department.
- Worked well in a team atmosphere.

March 1999-July 1999 Warranty and Financial Products Inc. Seattle, WA

Customer Satisfaction and Verification Officer

- Maintained customer satisfaction for this budding corporation.
- Ensured quality content of all sales from the sales staff through verification and data entry of customer information.
- Assisted in the training of 15 new individuals weekly.

Education

Fall 2000-Present Rutgers University *New Brunswick, NJ*

- Currently a pre-business major.

Fall 1998-Spring 1999 Southern Methodist University Dallas, TX

Cover Letter and Resume Workshop

Use this sheet as a guide for peer review, writing on the documents themselves.

The Cover Letter

1. Does the writer stress specific qualifications for the job sought? Is there anything in the resume that ought to appear in the letter as well? Could the letter elaborate on or help explain something in the resume?

2. Does the letter focus on the employer's needs? Does it address everything asked for in the advertisement?

3. Does the first paragraph:
   - specify the job sought? ___ yes ___ no
   - name the source of job information? ___ yes ___ no
   - offer a specific reason to hire the candidate? ___ yes ___ no

4. Does the central paragraph(s):
   - focus on the employer's needs? ___ yes ___ no
   - offer details that help us read the resume? ___ yes ___ no
   - highlight the writer's best qualification(s)? ___ yes ___ no

5. Does the final paragraph:
   - include contact information? ___ yes ___ no
   - close cordially? ___ yes ___ no

6. Is this document "letter perfect"? ___ yes ___ no
   Circle any mistakes or inconsistencies in the letter itself.

The Resume:

1. How does it look as a visual product? Is it easy to locate information? Would you adjust the layout, spacing, typefaces, or font sizes?

2. Is the organization the most logical? Is employment listed in reverse chronology? Are the most important jobs and qualifications highlighted and given the most space?

3. Is the format consistent throughout? Is the document letter perfect? Circle any mistakes or inconsistencies that you notice.

Chapter Four

Researching Your Topic

Research work is like any other work students encounter: a little basic knowledge makes the process more efficient. There are basically five things students need to know to be successful doing research for this course:

- When to use **primary** and **secondary** sources.
- How to judge among **scholarly**, **professional**, and **popular** publications.
- How to research **patrons**, **problems**, and **paradigms**.
- How to find **books**, **journal articles**, and other library resources.
- The proper way to cite sources according to **MLA Style**.

These five aspects of research are covered below.

Primary and Secondary Sources

How will you show that your topic is important and needs to be addressed? It will not be sufficient to rely on an emotional appeal or to expect people to take you at your word. Research will be required to demonstrate the nature and extent of the problem in a logical way. Your instructor may require primary research as well as secondary research, but knowing how and when to use them is important.

Primary Research
Primary research is data that you personally collect about the topic. Experiments, surveys, questionnaires, direct observations with note keeping, and interviews are typical examples of primary research. Data you collect in experiments, observations, and surveys can be presented in charts or graphs to quantify the problem. Questionnaires and interviews can be helpful when opinions are important.

Secondary Research
Even if you do collect your own research, you will need other research to interpret your data for others. That is why it is necessary to look at published sources. Secondary research is the term used to describe the search for published information, which you must take at second-hand. The value of secondary sources depends a lot on their credibility (see below).

For your proposal, you might do both primary and secondary research to introduce the problem, but you must do secondary research for the literature review (or paradigm) that helps interpret the problem and explain your solution. Each proposal stands or falls on

the quality of its research and all need a solid foundation of published and authoritative research to support their claims. Without published sources you will be very hard pressed to develop an explanation for your plan of action.

Scholarly, Professional, and Popular: Evaluating Secondary Sources

If there is one thing that students should learn in college, it is that not all information is equally valid or credible. When evaluating sources, students need to keep in mind the type of sources they are, since that will greatly affect the power they have to persuade your reader. Three terms are key: scholarly, professional, and popular.

Scholarly Sources
Scholarly sources are articles and research studies published in peer-reviewed journals. They show what scholars in a particular discipline are thinking about topics based on their research. In the scholarly journals, you will see that discussions reference accepted concepts and models. These readings can be difficult because the contributors to these journals use specialized vocabulary that someone outside of or fairly new to the discipline may not quickly comprehend. Realizing that these sources are the strongest authorities you will have for your proposal should help you persevere even when the reading is challenging. Scholarly sources are found in college and university libraries. Many journals are now in electronic form and accessible on the web, but many are still only in print form. When you access the Rutgers Libraries, you will see whether articles you need can be downloaded or whether you need to go to the library and photocopy or take notes on the information.

Professional Sources
Newsletters, journals, magazines, and websites that are used by the practitioners of a given profession or discipline are known as professional sources. They include up-to-date information about existing and new products, business applications, and commonplaces of the profession. You might find articles there about successful companies or methods written by respected people working in that field. These sources have some authority and can be an excellent source when looking for models of success. But because the writers of these publications often do not do research themselves and because they often do not take a critical perspective on their specialty or on companies in their industry (where these writers might be employed), professional sources are not considered quite as authoritative as scholarly sources. These publications can often be found in the Rutgers Libraries or through internet sources.

Popular Sources
Newspapers, magazines, and web sites that are readily available to the public and written to a broad audience are generally called popular sources. While they are the easiest sources to find, they have the least value when authority is being established for a proposal that requests funding. Popular sources can, however, supplement the scholarly and professional sources and show how your topic is of general social interest. Many internet sources would fall under the category of popular.

Based on this brief discussion of the three types of sources, students can see that often the more easily obtained the information is, the less authority it has. The most authoritative sources are generally written for a specialized audience. Recognize the category of the sources you use so you can judge how well they bolster your own authority. Each proposal stands or falls on the quality of its research and all need a solid foundation of published and authoritative studies, theoretical works, and other documents.

Researching the Patron, Problem, and Paradigm

Often when students begin their research, they see their job as finding out as much as they can about the problem that they want to address. While this can be a good way to start your research, you need to recognize that finding information about the problem is only part of your task. You will also have to do research on funding sources (the patron) and ways of solving the problem (the paradigm). Each part of the project will require different types of research.

Patron
How will you find a funding source? And how will you pitch your project to him or her? You will have to do research to find the best patron for your project and to learn more about what interests them. Often this research is not directly cited in your paper, but it is among the most important in making your paper realistic.

Even if the organization that will be funding your project is the company you currently work for or the school you attend, you will still want to do some research to find out how your project fits with their mission and values. Look at your company website. Look at what is online about your school or about the specific department in your school you are going to ask for funding. How can you connect your project with the issues and problems that concern them?

If there are no local sources of funding for your project, you will need to do some research to see what organizations (including government agencies, private philanthropies, and corporations) share your interests. Here are three good methods for getting started finding a funding source:

> **Method 1: Go to the Library**
> The Rutgers Libraries has a wealth of print sources that can help you find funding. These sources are often more complete than sources you find on the web, though they might not be as current or quick to browse. Ask the reference librarians for help getting started.
>
> **Method 2: Check Out Online Clearinghouses**
> There are a number of grant clearinghouse websites, where you can quickly access many groups that provide funding for projects. Some good websites to start your search for funding include the following:

The Foundation Center
http://fdncenter.org/ and http://fdncenter.org/funders/
This is the best clearinghouse for charity and private philanthropy information.

Catalogue of Federal Domestic Assistance
http://www.cfda.gov/
The official government clearinghouse for all sorts of funds.

Grants.gov
http://www.grants.gov/
A clearinghouse for different granting agencies of the U. S. Government.

Community of Science
http://www.cos.com/
A clearinghouse for science related projects.

National Science Foundation
http://www.nsf.gov/home/grants.htm
The NSF sponsors theoretical research in the sciences.

Environmental Protection Agency
http://www.epa.gov/epahome/grants.htm
The EPA sponsors environmental projects.

National Institutes of Health
http://grants1.nih.gov/grants/
The NIH sponsors health and health education grants.

U. S. Department of Education
http://www.ed.gov/funding.html

Method 3: Browse the Web
Since most of organizations who might fund your project probably have a website or are listed on the web, a search engine is not a bad initial search tool. Good search engines include Google (http://www.google.com), AltaVista (http://www.altavista.com/), AlltheWeb (http://www.alltheweb.com/), and FirstGov (http://www.firstgov.gov/fgsearch/index.jsp). Try entering your keywords for your topic, perhaps along with the words "grants" or "funding," and you should at least get some hints about who is interested in your subject area. This method involves a lot of trial and error, and you are better off starting with Method 1 and Method 2. But doing a general web search should at least give you a better sense of your topic and who is interested in it.

Problem

How can you prove that there is a problem? And how can you emphasize its importance? To make a good case, you will have to do some research on your topic with the goal of finding numbers or of defining your problem well enough to understand its scope.

Before you begin your research on the problem, it's a good idea to think about the specific information that would be useful to your case. Some questions to consider:

- What are the most important numbers needed to convince your patron that this problem is important to address? How can you quantify its scope and scale?

- Can you conduct some of this research yourself, or use research that you have already done? Or will you need to rely on secondary sources of research?

- In order to quantify the problem, what are your best sources of documented evidence? What secondary sources might have information that can help your case?

- Which groups or organizations might have already studied the problem? And where might they publish their findings?

If you can get good numbers, you will be able to make especially powerful visual aids.

When You Can't Find the Numbers You Need

- *Keep trying*. Often, especially with online research, key information is hidden behind the keywords that you haven't tried. For instance, say you are writing a project on making a community service project mandatory at a local high school. You need to find information about teens and community service or volunteering. A search in Statistical Universe using the keywords "teens" and "community service" or "volunteerism" will get you nowhere. The perfect graph for your project can only be found under "surveys—opinions and attitudes, by age." Start early and be persistent. Don't do your research when you are pressed for time.

- *Try extrapolating*. Often it is possible to take percentages from national studies and use them to make educated guesses as to how many people will be affected by an issue on a local level. In order for this to work well, your local population must be entirely typical with the rest of the larger area. For instance, if you absolutely can't find rates of smoking for your town, you could use state or local averages and then work out the equation. If 30% of people in New Jersey smoke, one could assume that 30% of people in Paterson smoke. However, if you are talking exclusively about students, then you will need more specific information to extrapolate. For example, a town populated by a significant number of young families cannot be compared to a town with several senior citizen retirement villages. If you are reduced to documenting your local problem by extrapolating

from other communities or from national statistics, you must be honest about it and clearly show your assumptions.

- *Fill in the gaps with primary research.* Sometimes a problem is so new or so local that there is not a large amount of hard data to draw from. In that case, you will have to do some surveys or other primary research. As much as possible, make sure that your surveys are legitimate and convincing. Your sample size must be large enough and varied enough to be representative. The fact that twenty of your friends say they dislike Economics 101 is not good evidence that a university should drop the course. As you survey, keep track of what day and time you did the survey, how many people responded, how many of each gender, age, and so on, depending upon the subject of the survey. You should also ask your survey questions in such a way that they will generate good statistical responses. If you conduct your surveys well and present them carefully, they can enhance your credibility. For example, which of these two statements below seems most convincing and why?

    - Fifty percent of the people I surveyed disliked Economics 101.

    - Out of 1,000 students, 50% stated that they ranked Economics 101 (on a scale of 1-10, 1 being the lowest) at 3 or below.

- *Use uncertainty to your advantage.* Sometimes a lack of knowledge is the best evidence you have that a problem exists. Scientists use uncertainty all the time in order to show that more research must be done. If you are writing a research proposal, you should use the lack of statistical information as part of your documentation of the problem. Be sure to discuss the possible dangers or lack of opportunities that result from "not knowing." Perhaps a central part of your project could be to gather data.

Paradigm

How do you support your claim that your plan is the best way to address the problem? A paradigm gives you that support. You might think of it as the research-based rationale for your plan. It authorizes your claims about the problem and justifies your methods.

If you are doing a scientific research project in any given field, your paradigm will derive from previous research. That previous research offers you both examples of practice (what experimental methods did they use?) and a way of understanding the results (how did the experiment support the hypothesis based on previous theory?) Defining your paradigm outside of the hard sciences is not as straightforward, because there is usually not as strong a consensus as there is in the sciences about which methods and theories are best. But you can still use the model of the sciences to guide you in researching support for your plan.

You might think of paradigms as ideally having two parts, along the scientific model: **models of success** and a **theoretical frame**. A model of success is an example of how

others have successfully addressed the problem in some other context. A theoretical frame is a language for explaining how a certain solution will work.

Let's say that you wanted to take on the problem of crime on campus. To find research to justify a plan of action, you would want to search for models of success and find a theoretical frame. You may not need both of these things to succeed in writing a persuasive proposal, but looking for them will help you in many ways.

Searching for a Theoretical Frame

If you were studying sociology or law enforcement, it would be logical for you to take on the problem of campus crime since your previous studies had already prepared you for the issue. You might already have an idea, in fact, of what theoretical frames might relate to the issue. If you don't, then at least you would know where to look to find out. You could talk to professors. You could look in your textbooks (especially in their bibliographies). Ultimately, though, you will need to do some research to see what others have written in journal articles and in books about ways of addressing the problem. That's where you will find your theoretical frame and the language you will need to explain it.

To address the problem of campus crime, you would want to look at what researchers have written in the areas of sociology or law enforcement (the fields that seem most applicable to your problem – though other fields might offer ideas as well). One theory of crime you might encounter in your reading is the "broken windows theory," which suggests that if you address small crimes (such as broken windows) you will be addressing the larger issue because, for one thing, small crimes and big crimes are committed by the same group of offenders.

Searching for Models of Success

If you were looking to address the problem of crime on campus, you would logically look at programs at other schools that helped to reduce crime. You would probably also want to look at towns and cities, since they are also potentially good models. You could look for these models in a number of ways.

- You might look in professional or popular sources, such as college journals or newspapers and magazines, which might have stories about successful crime stopping initiatives.
- You could look on the web, where schools might have posted information about their programs (especially those that proved successful).
- You might ask experts in law enforcement who they look to for models, and then try to interview people involved with the programs they suggest.
- If you have already begun your theoretical research, you may have come across some examples in scholarly sources that you can then try to find out more about.

Once you found those models of success, you would want to repeat the research process to see what specific information you could turn up about how and why those programs

worked. The more information you could turn up the better, since you will need that research to justify your own choices in constructing a plan.

Merging Theory and Practice
To construct a coherent project, you will need to merge theory and practice so that your theoretical frame explains the model of success you are using to justify your plan. A good example of this merging of theory and practice in the case of campus crime would be to use the model of the New York Police Department who made their city the safest in the nation by cracking down on low-level street crime (from petty theft to vandalism), following the logic of the broken windows theory. You could use the NYPD as your model and draw examples of good practice from them and explain them using the language of theory.

Finding Books, Journal Articles, and Other Sources at the Library

Today there can never be the excuse that you "couldn't find any research" on something. You will see, in fact, that there is usually too much information on any topic. Just try a search on the Index called "ABI / Inform" (from the Rutgers Libraries home page, http://www.libraries.rutgers.edu/, click on "Indexes and Databases" and click on "ABI / Inform" which is listed near the top in alphabetical order). Enter key words about your topic and you should find that there is lot of information out there (much of which is accessible online in full-text format). And if you try a search at Google, likely you will get too many hits to look through in a sitting. You must learn to be selective, have confidence in your ability to analyze what you read, and just simply get to work.

The best place to start is the Rutgers Libraries home page, http://www.libraries.rutgers.edu. If you are using a computer off campus, it can be set up to access the Rutgers Library: on the library's home page, click "Off-Campus Support" for instructions. The library home page is set up for easy use, listing the **IRIS Catalog** (listing all book and periodical holdings at all Rutgers Libraries), **Indexes and Databases** (offering expansive bibliographic references, and sometimes full text, of articles in various fields), and **Subject Research Guides** (offering links to library resources and quality web sites reviewed by Rutgers librarians).

The only way to learn how to use the library or its home page is by using it. But if you have trouble getting started, there are tutorials online (click "Library Instruction and Tutorials"). Your class will also have a library tour to familiarize you with the resources available at Rutgers, so be prepared to ask questions of the reference librarians. Remember the reference librarians can be the best teachers of library skills: the library is their classroom; you are their students. Show them what you have done; ask them questions; seek their advice whenever you get stuck looking for information. The more specific your question, the better the help you will receive.

If you can't locate a source at Rutgers, you can order any book or journal article through interlibrary loan, usually very quickly (no more than two weeks). If you start your research early, you should be able to get all the information you need. Be careful,

however, to continue your research efforts while awaiting sources you have ordered. The deadline for completing an assignment will not change if your ordered source does not arrive on time or proves less than helpful.

Some Advice on Searching the Internet

You should never rely upon general internet searching as your main source of information. Internet sources tend to be too simplified and too much driven by self-interest to serve as the basis for your research. You should always seek a wide variety of sources, using books for depth of coverage, peer reviewed journals for thinking in your field, and periodicals for timely coverage of recent events. The internet should be only a supplement to these sources. These suggestions are therefore intended to give you some ideas about using the internet as an assistant rather than a crutch.

- Often web searches can help you most in developing a list of keywords that you can use later in searching through databases and books. Try putting quotes around specific phrases, like "binge drinking" rather than binge AND drinking since this will help narrow your search to only sources that use those words together. Remember the basics of Boolean logic: use "and" to narrow and "or" to expand categories.

- If you are beginning with a broad subject (cancer, AIDS, alcohol, guns), try starting with the "web guides" prepared by Rutgers Librarians (accessible from the Rutgers Libraries home page at http://www.libraries.rutgers.edu). Use the guides to help narrow your topic and to get ideas.

- An increasing number of statistical sources are available on line. You can also use Statistical Abstracts of the United States and Statistical Reference Index, which are available in the reference section of most campus libraries. If you are seeking government statistics, check out "thomas" the government center for information at http://www.thomas.gov/. For New Jersey information, try http://www.state.nj.us/. For census information, go to http://www.census.gov/. If you were looking for statistics on campus crime (as in our example above), you would definitely need to visit the Office of Postsecondary Education's Campus Security Statistics Website at http://ope.ed.gov/security/index.asp.

- If you find a good web site, see if it contains links to others or lists of references you can find in the library. Often, web sources are abstracted versions of much better journal articles or books. Go to the original source!

A Brief Guide to Using MLA Style

The following guidelines are not intended to be all-inclusive but merely to help avoid typical pitfalls in citation by students. For the purposes of this class, you should use citation style as given by the Modern Language Association. You will need to know MLA Style for both in-text citation and your Works Cited page. The following are guidelines based on current MLA recommendations. For more information on the intricacies of MLA citation, consult the *MLA Handbook for Writers of Research Papers* (available in the reference section of all campus libraries). For the latest recommendations on web reference, go to the frequently updated MLA website at <http://www.mla.org/>. The following examples of format are all based on those sources.

In-Text, Parenthetical Citation

MLA citation format tries to simplify references by eliminating footnotes and replacing them with short parenthetical citations that are elaborated in your Works Cited. The main purpose of in-text citation therefore is to link information in your text with entries on your Works Cited page. For that reason, you need to make the connection between citations and sources clear by using the same primary name in your text as the primary identifying reference in your Works Cited.

Unlike scientific citation formats, which emphasize author and date of publication, MLA emphasizes author and page number. The two pieces of information you should have in a textual reference are the last name of the author and the page number (if the text is paginated). Page references are especially important when you are using a direct or indirect quotation from the text. If you mention the author(s) in your sentence, then it is not essential to put the name(s) into your parenthetical citation. Two examples:

> According to James Q. Wilson and George Kelling, "at the community level, disorder and crime are usually inextricably linked, in a kind of developmental sequence" (33).
>
> According to the classic study of the "broken windows" phenomenon, disorder leads inevitably to crime (Wilson and Kelling 33)

In parenthetical or in-text citation with up to three authors, you should include all of the names; with four or more authors you should cite the primary author and indicate others with "et al." For example:

> One author: (Jordan 98)
> Two authors: (Jordan and Slinkoff 98)
> Three authors: (Jordan, Slinkoff, and Presser 70)
> Four or more: (Jordan, et al. 78).

In text citation for four or more authors would like this:

Jordan, et al. found an increased cancer rate in overweight mice (78).

Sometimes page numbers are not available, especially when dealing with electronic sources. In this case, the MLA suggests that you use paragraph numbers for reference, especially when quoting. Otherwise, simply use the author's name in your parenthetical citation. And in the case of quoted material not spoken by the author, be sure to indicate that the line was quoted in (abbreviated "qtd in") the source you used and was not an original citation. For example:

> The case of Abner Louima is the exception that proves the rule in Siegel's view: "'the lesson of the 'broken windows' applies to cops as well as to criminals. With 'broken windows' you say, if you allow the small things to get out of hand, the big things will be worse'" (qtd in Skelley, par. 10). According to Siegel, the 70th precinct commander did not enforce rules vigorously, which allowed disorder and, eventually, criminality among his officers (Skelley).

If the source has no discernable author, then use the title (or the first few words of longer titles, followed by an ellipses). And be sure to use the title for reference both parenthetically and in your works cited:

> *Parenthetical citation for un-paginated non-authored source:*
> Safir's first action was to focus on the seemingly "trivial" crime of jumping subway turnstiles to avoid paying the fare ("Commissioner describes NYPD 'success story'").
>
> *Works Cited listing for un-paginated non-authored web source:*
>
> "Commisioner describes NYPD 'success story.'" Yale Bulletin and Calendar
>
> 28.18 (January 28, 2000) 3 March 2003
>
> <http://www.yale.edu/opa/v28.n18/story4.html>

Non-accessible Sources

The MLA does offer style formats for citing e-mail messages, postings to a listserv, personal interviews, and other sources that your readers will not have access to except through you (these are discussed briefly below). Original research that you have done to find information about your project (for example, survey results that you have gathered) should not be recorded on your works cited page, but should be explained clearly in your text.

> A survey of 45 Busch campus students conducted at the Busch Student Center on April 1, 2003, showed an overwhelming number avoided taking Friday classes.

In an interview on January 12, 2003, Robert Spears, the Director of Parking and Transportation for the Rutgers, New Brunswick campus, discussed some of the problems that made additional parking spaces on College Avenue Campus impractical.

In a March 10, 2003 email response to my inquiries, Professor Dowling said that he thought student evaluations "put pressure on faculty to do the popular thing rather than the right thing" and therefore ought to be replaced by another system.

Your Works Cited Page

Your works cited page is just that: it reflects the works that you have actually used in your text, not works that you consulted for background information but did not use for reference. According to the latest guidelines, it should be double spaced consistently throughout, even within entries. Do not skip extra space between each entry. You must list your sources in alphabetical order, either by the author's name or the title. If you have two or more sources by the same author, list them in alphabetical order by title and replace the author's name with "---." in the second entry. Do not number your entries on the page—alphabetical order and indentation will separate one entry from the next.

The following examples will give you some idea of format. For more complete information, consult with your instructor or the MLA Handbook.

A Book
The standard citation form is for books, which illustrates the general order of author, title, and publication information (including date of publication).

Jacobs, Jane. The Death and Life of Great American Cities. New York: Random House, 1961.

Wilson, William H. The City Beautiful Movement. Baltimore: Johns Hopkins UP, 1989.

A Book with More than One Author
Notice that with more than one author, the second author's name is written out normally.

Wilson, James Q. and Richard Herrnstein. Crime and Human Nature: The Definitive Study of the Causes of Crime. New York: Simon and Schuster, 1985.

A Book Chapter
For a separately authored chapter in a book, you need to indicate the editor and pages.

Wilson, James Q. and George Kelling. "Broken windows: The police and neighborhood safety." Thinking About Crime. Ed. J. Q. Wilson. New York: Vintage Books, 1985. 77-90.

Periodical or Journal Articles
If the periodical is paginated continuously throughout the year, only the volume number is needed. If each issue begins with page 1, then put the issue number after the volume number separated by a period. For example, for "volume 17, issue 4," use 17.4.

Brown, Lawrence and Michael Wycoff. "Policing Houston: Reducing Fear and Improving Service." Crime and Delinquency 33.1 (1987): 71-89.

Strecher, Victor. "Revising the Histories and Futures of Policing." Police Forum 1.1 (1991): 1-9.

Newspaper Articles
Use a plus sign to indicate additional non-consecutive pages. If the paper is not nationally known, include the place of publication in brackets. Indicate special sections or editions.

Butterfield, Fox. "Crime Fighting's About-face," New York Times 19 January 1997: 1E+.

Butterfield, Fox. "Reason for Dramatic Drop in Crime Puzzles the Experts." New York Times 29 March 1998: 14Y.

Flannery, Mary Ellen. "Taking Care of Business: Assistant Principal Practices the Broken Windows Theory." Palm Beach Post [Florida] 14 April 2002, Sunday Final Edition: 19A.

Government Documents
Authored reports should begin with the author and offer the agency as part of the publishing information. Un-authored reports should cite the government and its agency.

United States. Federal Bureau of Investigation. Crime in the United States, 2000

Washington, D.C.: GPO, 2001.

Web References

Just as with print sources, web sources should be cited in the order of author, title, source (including the URL in this case). Differences arise because of the impermanence of web sources and the fact that many do not have clear authors or titles on their pages. The impermanence of web sources makes it necessary to the date you last accessed the source. In the case where there is no listed author, then use the title as your main listing, and only if there is no author or title should you merely list the source. In any case, be sure to list the web address of the actual article or page you are using, not simply the address of the overall website. Do not expect your reader to be able to follow all of the links you followed to find the article. If you are only referring to a website in general, and not a specific article or page on the site, you can just record the name and web address in your text without including any specific listing in your Works Cited.

"Alcohol Related Crime." Crime Reduction Toolkits 2 March 2003

<http://www.crimereduction.gov.uk/toolkits/sc00.htm>

Meade, Patricia. "Traffic Stops Put Brakes on Big Crime." The Vindicator

Online [Youngstown, OH] 27 April 2003. 27 April 2003 <

http://www.vindy.com/local_news/312471334442234.shtml>

"Shattering 'Broken Windows': An Analysis of San Francisco's Alternative

Crime Policies." Center on Juvenile and Criminal Justice 3 March 2003

<http://www.cjcj.org/pubs/windows/windows.html>

Wilson, James Q. and George L. Kelling. "Broken Windows: The Police and

Neighborhood Safety." The Atlantic 249.3 (March 1982): 29-38. 2 March

2003 <http://www.theatlantic.com/politics/crime/windows.htm>

E-mail

Though e-mail is not a permanent source, the date and subject are useful for reference.

Samson, Dolores. "Re: Customer Service." E-mail to the author. 3 May 2001.

Interview
Both primary and secondary interview material can be cited in MLA format. Interviews available online need to be cited as online sources.

Vandeen, Harry. Interview with Jon Stewart. The Daily Show. Comedy Central. Los Angeles. 8 Aug. 2001.

Sansevarius, Buran. Telephone interview. 7 Dec. 1999.

Jorge, Eric. Personal interview. 1 May 2000.

Sample Annotated Bibliography

An annotated bibliography is a preliminary Works Cited page to which notes (annotations) have been added after each entry. The main information to include in annotations would be a sentence or two summing up what the source says and how it will be useful to your project. You might also want to say whether you will be using the source to quantify the problem or to set up the research paradigm for your project.

Annotated Bibliography

Boccacio, Frank. "Improving Customer Service." Entrepreneur's Weekly 14 (2001): 5-8.

This article will help support my customer service improvement plan and offers models of success. The author gives several examples of the beneficial results companies experienced when they adopted better customer relations strategies. I can use it to help set up a paradigm of successful models.

Fiegel, Darla and George Kartin. Starting your own Small Business: A New Guide. New York: Cornell UP, 1998.

Although this book is a guide to setting up a business, it includes valuable information about the importance of a well thought-out customer relations plan. It also gives a guide on how to train new employees in good customer service that I can modify for use in my project to improve customer service at our auto service.

Sensenig, Becca, et al. "Customer Dissatisfaction at Major Auto Dealerships." Wall Street Journal 9 Oct. 2000: D6.

Sensenig lists the major complaints that customers seeking auto service have, and she shows that major dealerships are not paying attention to the levels of dissatisfaction in their clientele. I can use this article to show that the problems I see at Sharlene's are

common among auto service centers. I could also use it as part of my argument that paying attention to customer complaints will give us a marketing advantage over dealerships.

"Taking Time to Listen." CNBC Online. 1999. CNBC, New York. 8 Sept. 2002

<http://cnbc.com/takingtime/last/93205.html>.

This is a transcript of a program on CNBC about the benefits of listening to customer complaints in a genuine way. The advantages of listening carefully to customers before their auto service and following up after the service has been completed are shown. The disadvantages of some current methods, like bribing customers to give a good report by giving them a free oil change or tank of gas, are clear from the client interviews. I can use quotations from some of the clients to show Sharlene's that there is a problem with their current methods.

Chapter Five

The Midterm Assignment

The Assignment

Write a 4-5 page letter or memo, single-spaced, that accomplishes the following:

- Takes the form of a letter to your patron.
- Addresses a specific person by name.
- Explains your problem.
- Explains at least some of your initial research toward a solution (your paradigm).
- References your research clearly (according to MLA Style).
- Gives a sense of your plan of action.
- Closes with an invitation to your oral presentation (specifying time and place).
- Appends a bibliography of at least eight sources, cited in MLA style (remember, though, that at least ten sources are required for the final paper).

The midterm sales letter should be written as a **letter of persuasion**, and as such it carries the added burden of addressing a particular reader and using some of the means of persuasion available to you for appealing to him or her (with special attention to rational or logical appeals).

Requirements

The midterm paper will be graded according to how well it does the following:

- Adheres to proper memo or letter format
- Discusses, documents, and tries to quantify your problem.
- Highlights the reader's concerns about that topic.
- Cites specific facts and examples from your research.
- Briefly proposes a plan and provides a rationale for it.
- Convinces your reader to hear more.
- Provides a bibliography of sources in MLA style (annotated, if your teacher asks).
- Is well proofread for errors and appearance.

Purpose

The midterm sales letter serves many purposes:

- As a draft of the final paper, it provides you an opportunity to organize your research toward a practical goal and to begin presenting your information clearly.

- As an evaluative tool, it allows you to receive feedback on your work thus far, so you can have a sense of where you stand in the class.

- As an institutional requirement, it gives your teacher an opportunity to confer with the course coordinator on how best to assist you in your research and how to grade your work.

- As an exercise in persuasive writing, it gives you practice in the most valuable form of writing for business.

Typical Pitfalls and Problems

Students typically go wrong on the midterm paper in the following ways:

- They do not address a specific person capable of funding the project.
- They fail to provide evidence of the problem or trend they seek to address.
- They fail to make explicit references to their research.
- They assert things without evidence.
- They fail to attach a bibliography of sources.
- They use insufficient or inappropriate sources.
- They are poorly proofread for errors.

Some General Advice, or "14 Steps to a Strong Sales Letter"

You have already gained some practice in writing the letter of persuasion when you wrote the cover letter with your resume. Here you are also making a sales pitch, but in a much more detailed way. Generally, I don't recommend following a formal approach to the sales letter. But there are about fourteen things you may want to consider as you write it. These are stated as rules, and some are always good rules to follow. But obviously each situation should dictate the type of approach you take. Also, these ideas should not limit your creativity. Remember that the audience should always dictate your approach. Who will read your letter? What are your reader's concerns and interests? How can you appeal to this reader most powerfully? How can you explain your evidence? The answers to these questions should guide the way you write the sales letter, and they will always vary from situation to situation. So accept what follows as friendly advice.

1. **Know your audience.**

   Knowing your audience might require some preliminary research. If you are responding to a specific request for a proposal (commonly called an RFP), then you will know what your audience expects. But in this class, you will usually be addressing someone you do not know so well. Find out what you can. What is the corporate culture like at your reader's organization? What is their motto or corporate philosophy? What image do they project in their advertising? What recent endeavors have they undertaken? What problems are they facing? What is their competition up to? Find out about your reader's general interests so that you

can know better how they might fit with your idea. What specific benefits can the individual or organization you plan to address gain from solving the problem or responding to the trend you are considering?

2. **Get the right name, and get the name right.**

   Address your letter to a specific person whenever possible -- and, for the purposes of this class, ALWAYS. How many times have you seen a letter that opens, "Dear Sir or Madam"? Does that inspire much interest in you? Not only is a letter addressed to a specific person bound to generate a more positive response, it will more certainly be read -- and it will more likely be read by that specific person capable of making a decision on your project. (The success of annoying ads like Publisher's Clearinghouse is due in no small way to the appearance of personal interest: even the most cynical readers are unconsciously and unavoidably flattered by the fact that Publisher's Clearinghouse knows their name).

   How do you find out the person to whom you should address the letter?

   This is another one of those "legwork" things, but fortunately these days it doesn't require any walking around: usually a simple telephone call or a "visit" to the company web site is all you need.

   When in doubt, just ask! Call up the company and ask a secretary or receptionist. Talk to a few people -- maybe even speak to the person you plan to address (that will give you a better sense of his or her style and will provide a good introduction to your letter). Just ask, and be nice about it. Who would handle the sort of project you have in mind? What department? What person in that department?

   Once you know who you should address, find out how you should address that person. How do you spell his or her name? How is it pronounced? Does she prefer Ms. or Mrs.? Is there a middle initial? A Jr., Sr., or Roman numeral? Find out.

3. **"Dear" is never wrong as an address.**

   "Dear" is the expected mode of address. Though you may have struggled in personal correspondence over whether or not to write "Dear" to your reader, in business correspondence it is simply a standard formality.

4. **Make a strong first impression.**

   How you open your letter will depend upon the specific audience and the specific appeal you want to make. If you know the addressee, you will likely want to remind him or her of that fact and allude to your most recent or most positive

interaction. If you don't know the addressee personally, you'll have to be more creative. You can rarely go wrong by trying to open with a confident and definitive statement, and you should open emphatically whenever possible. Point to the problem or need you seek to address, or state the sort of vision you will provide in responding to this need. Get this person to read further.

5. **Show that you identify with your reader's concerns.**

   Explicitly state what you know about your audience's interest in the idea you will propose or the problem you seek to solve. Show that you can see things from the reader's perspective, and that you see the proposal as a win-win situation.

6. **Quantify or specify the problem or need you seek to address.**

   If you can quantify the problem, you can show its magnitude and importance. Alternately, you might give an anecdote or example that helps highlight the importance of this problém to your audience.

7. **Get to the point.**

   There are some cases where you may wish enigmatically to string your reader along before revealing your specific project. Usually, though, readers in business don't have time to read a mystery novel. So don't keep your reader waiting too long for your discussion of how you intend to solve the problem or respond to the recent trend you have identified. If you offer a deal, be up front about it. What are you offering? What do you want in return? Give your reader a forecast of what to expect.

8. **Provide evidence or examples.**

   This is the key to a successful letter for this course. You must cite your research. You must also show that you can use the information you have collected to construct an effective argument for action. You might say that it requires putting information in action. Evidence is always logically persuasive.

9. **Activate your reader's imagination.**

   Invite your reader to engage with your idea, perhaps by using rhetorical questions. Get your reader to participate in your text.

10. **Encourage empathy.**

    Now that you have shown your reader that you see things from his or her perspective, start to turn the tables a bit. Get the reader to identify with your reasons for being involved in this project, and present your reasons in the best

light possible. If your ethos is key to your appeal, you may consider highlighting it earlier in your letter.

11. Close with a call to specific action or further contact.

Make sure that the reader sees this as a pressing need, with a deadline for action. For the purposes of your sales letter for the class, you might invite your reader to hear your presentation, listing the specific date, place and time.

12. Make contact easy.

It is always a good idea to provide a way for your reader to contact you easily, either by phone or e-mail. Don't forget to put that down, usually in the last paragraph -- especially if it isn't clearly printed on the stationary you use.

13. Sign off "Sincerely."

Don't get fancy with the closing address, unless it is especially appropriate to offer "Best wishes." Like "Dear" at the outset, "Sincerely" is the standard close.

14. Follow up and be persistent.

Many times you will discover that your letter has languished in the wrong department or that a busy addressee has failed to take any action because the letter has gotten buried under more pressing work. Follow up your letter after a reasonable interval, perhaps with a phone call or another method of contact. Don't give up.

Sample Papers

The sample papers that follow are rather typical of the work that students turn in at midterm. Generally, they are good and competent samples. But most need to be improved to make them more coherent and fully developed projects.

Since the 6 P's often described the process of writing the proposal, it is not surprising that most midterm papers do a good job of identifying an appropriate patron to fund the project, defining a population to be served, and trying to understand the problem they want to address; but that they also might be rather vague about their paradigm and the plan. Some vagueness is natural, but the better midterm papers will still suggest a more coherent sense of project and will do more not only to describe a paradigm to show how that paradigm informs the plan.

The following papers are intended for discussion purposes only and should not always be taken as models of strong work.

A Music Therapy Program for Senior Citizens

This midterm letter opens with an appeal to a funding agent that would clearly have interest in the topic. The problem discussion includes data that show the projected increase in the aged population over the next 30 years and their relative neglect. Research includes reference to theories and programs relating to music therapy, establishing several potential foundations for the plan. In a way, though, the paper offers too broad a picture of the evidence for this opportunity without focusing on the specific aspects of music therapy that will be important to her plan. One sign of its lack of focus is how often the sources are quoted rather than being digested within the writer's overall vision and paraphrased. As a midterm paper, this is a good start toward the final project. But how might it be revised to give it more focus and coherence? What do you think might be the most promising finding she cites in favor of music therapy? How can that help her form a more focused paradigm to justify a more specific plan? After all, what kind of music therapy program will she have? Will it be one focused on building memory and awareness in individuals, or one focused on building community and promoting connections among these isolated individuals? Or both? The writer talks about both individual and group lessons but does not explain why both will be used or how they figure in the overall vision. How can the writer focus the project better and build a more coherent paper where the plan grows out of a specific paradigm?

55 Rutgers Street
New Brunswick, NJ 08901

February 27, 2001

ASA: American Society on Aging
Society on Aging of New Jersey
833 Market Street, Suite 511
Princeton, NJ 08540

Re: MUSIC THERAPY PROPOSAL

Dear Ms Huff:

The ASA Foundation is known for funding projects that help enhance the physical and mental well being of aging individuals. This letter is being sent to introduce you to my plan to help increase the quality of life in the geriatric community. I am working on a proposal to introduce music programs into the aging community in and around the city of Whitehouse Station. Your organization is known to support and encourage projects that support the geriatric community and contribute to their physical, mental, and social well-being, and I think you would be interested in funding this project.

PROBLEM

According to the latest census figures, people 65 years or older numbered 34.5 million in 1999 and represented 12.7% of the U.S. population, or about one in every eight Americans ("A Profile…"). With the population of aging adults increasing, and the availability of curriculums

for the geriatric community decreasing, there has become an even greater need for programs and activities for this age group to participate in. According to Dan Blazer, "The oldest old are the fastest growing age group in the United States; approximately 2.9% of the population was 80 years old or older in 1993, and this figure is projected to be 4.3% in 2025" (Blazer 1916). We therefore need to address their concerns.

A general misconception is that elders do not have the ability to function in day-to-day activities and therefore society tends to neglect this age group all together. New research even suggests that "cognitive decline is not an inevitable part of the aging process. The brain is able to grow new nerve extensions (dendrites) at any age, and emerging evidence suggests that brain cells are capable of regeneration – important to the laying down of new memories and information" ("Recognizing innovations…"). Although some are institutionalized for severe mental or physical problems, the majority of elders live in our communities and function as normal adults with minimal physical incapacities. Despite the stereotypes, only 5% of individuals 65 years old and older live in nursing homes where they can expect to participate in organized therapy; but for the majority "who remain in the community, their participation in outside activities decreases by about 33% from the late 60s to early 80s" (Blazer 1919).

There exists an incredible lack of activities and programs for this age group often causing boredom and melancholy that can then lead to depression. In a recent report from a large community survey of older adults, it was found that: "Less physical activity and fewer social contacts among individuals further explains the increased depression risk" (Playfer 6). As individuals age, it is still important to keep their minds as well as their bodies active. In short, mental stimulation should be maintained throughout life.

PERTINENT RESEARCH

Music therapy has become an increasingly popular way of working with elderly, mentally and/or physically disabled individuals. Music therapy is "a service that uses music therapeutically to address physical, psychological, cognitive, and/or social functioning" ("Music Therapy…"). Music therapy has become increasingly popular with the geriatric community, in part because "Music is a form of sensory stimulation, which provokes responses due to the familiarity, predictability, and feelings of security associated with it" ("A Dose of Music…" 3). Music has been shown to relax, soothe, and even heal others for centuries. Pythagorus and other ancient Greeks thought that certain musical notes had healing properties (Berk 39). Although music is most commonly used for relaxation, it has many other varied uses. Music relieves boredom as well as pain, sustains physical activity and the use of fine motor skills, and provides memory recall that can result in positive changes in mood and emotional states. Music therapy is "a powerful and non-threatening medium in which unique outcomes are possible" ("Music Therapy…").

Music can do much more than just help one relax. According to a recent study conducted at Case Western Reserve University, "relaxing and listening to music actually helped to relieve the pain of patients" ("A Dose of Music…" 2). This is important when dealing with an aging population. Physical and mental ailments increase with age, creating a potential "downward spiral in health-related quality of life, including frailty and failure to thrive, increases as the individual ages" (Blazer 1920).

Music has been shown to have other positive effects on individuals. "A music-facilitated strategy for depressed older adults has proven to be useful to distressed individuals" (Effects of a Music Therapy Strategy on Depressed Older Adults 271). Most aging adults experience depression to

some degree at some point in their lives. Research has shown that: "Short-term therapies have been successful with depressed elders, but at the present time, these treatments are usually restricted to a clinical or office setting" ("Effects of Music Therapy on Depressed Older Adults" 265). Music does not have to be, and rarely ever is, restricted to any one environment, making it easily accessible to all individuals.

In addition, music programs help unite individuals with common interests or problems. "A strong sense of group identity and a feeling of belonging is created because participants are actively making music together.... Bringing people together physically, emotionally, and mentally" (Berk 39). It also enhances the individual's positive feelings towards him / herself, giving them "a sense of accomplishment to know that they can still learn something new and succeed at it" (Playfer 38).

Music therapy programs have been showing tremendous signs of therapeutically healing the adults who were participating in those program. Jones, who began the program in a nursing home noted, "Doing it all: singing, playing, learning the music, working as an ensemble and taking direction enhances independence and feelings of self worth" (Bruck 38). Music has also been employed as a form of therapy for older adults in a variety of residential and adult day health care centers. "Descriptive and experimental studies have documented effects of music on quality of life, involvement with the environment, expression of feelings, awareness and responsiveness, positive associations, and socialization" ("Effects of Aging on Processing..." 166).

Not only does the music aide the individuals participating in the program, but it is "also therapeutic for the participants' families, who are given the opportunity to see what their loved ones are still capable of accomplishing and enjoying" (Playfer 418). It has also been noted that: "The musical activities are also therapeutic for the participant's families, who are given the opportunity to see what their loved ones are still capable of accomplishing and enjoying" (Bruck 37).

PROPOSAL

My proposal is to introduce a music program to the older adults living in Whitehouse Station. The program will consist of basic music instruction such as time and key signatures, note values, and rhythm. In addition, the individuals will be asked to participate in group ensembles in which they will be allowed to pick the instrument of his/her choice. Instruction would consist of individual as well as group lessons based on instrumentation and ability. Concerts, as well as other performances, will be performed periodically throughout the year as determined by the musician's ability and readiness. For example, orchestral concerts may be held once a year, while small group ensembles, such as percussion or brass quartet may be held every month. This program will give the adults a new, fun, and challenging experience through the use of music. With the use of music therapy, many of the problems or illnesses associated with aging that elders experience in their later years will diminish or disappear altogether, thereby enhancing their quality of life.

~~Thank you for taking the time to read my letter~~. I will be giving an oral presentation on March 11th at 5 P.M. at Rutgers University. I would like to invite you to attend that presentation and learn more about my proposal. If you have any questions or concerns, please feel free to contact me at (732) 555-1185. I look forward to seeing you then.

Sincerely,
[Name withheld by request]

Works Cited

Berk, Lee, et al. "Composite Effects of Group Drumming Music Therapy." Alternative Therapies in Health and Medicine. 7.1 (Jan. 2001): 38-53.

Blazer, Dan. "Psychiatry and the Oldest of Old." The American Journal of Psychiatry 157 (Dec. 2000): 1915-1924.

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"Music Therapy in Response to Crisis or Trauma." 4 September 1999. American Music Therapy Association Inc. <http://www.musictherapy.org/factsheets/trauma.html>

Playfer, Jeremy. "Wholesomeness in Later Life." Age and Ageing. 28 (July 1999): 418-419.

"A Profile of Older Americans." U.S. Department of Health and Human Services: Administration on Aging 13 December 2001 <http://www.aahperd.org/iejhe/tremethickweb/reference1.htm>

"Recognizing Innovations in Mental Fitness Programming for Older Adults." American Society on Aging 2 January 2001 <http://www.asaging.org/awards/mindalert.html>

An ESL Program for a Local Factory

Notice the way Cindy starts with a specific example of what can happen when employees cannot read basic safety instructions. As she turned this letter into a final project, she worked on emphasizing not just the dangers to the employees but the legal responsibility of the factory to provide a safe working environment. At this point, she merely mentions the dangers of litigation because of employee ability to understand safety warnings. Students often make such progress through the revision process toward more fully integrating their reader's views into the project.

[Address withheld]
March 5, 2001

Ms. Alka Swanson
General Manager, JDS Uniphase
7 Graphics Drive
West Trenton, NJ 08628

RE: ESL Program Implementation at JDS Uniphase

Dear Ms. Swanson,

I would like to take a moment of your time to explain a proposal I have concerning the health and safety of workers in your building. I currently work for JDS Uniphase as a Co-op student in the Environmental Health, Safety, and Security department under Gary Wimmer. I perform many tasks for Gary, which include keeping records for all incidents that occur in the building. I make sure the employees fill out incident reports and in turn, this helps me research ways in which to prevent these accidents from occurring. A few weeks ago, I encountered an incident with an employee who had bit her tongue and decided to go into the First Aid Kit to get something to stop the bleeding. This was not a work related incident, but soon became one. She went into the First Aid Kit, found blood clotting spray and sprayed it into her mouth. Awhile later she began to feel nauseous and was sent to the hospital. After investigation, we found that the employee was unable to speak or read English very well. She was unable to read the warning signs that specifically said "Harmful if swallowed" or "Avoid contact with eyes, ears, nose, or mouth." An injury as the one described would not have become a work related incident if she had been able to read the warning signs on the bottle. This is why I believe we should start a program within the company through which employees who are unable to read or speak English would be able to learn by taking classes offered by the company.

The Problem of Illiteracy

Out of the American population, 29% of adults are functionally illiterate. In New Jersey alone, there are 3 million people who have English literacy problems ("Companies" B01). Many companies have already taken the initiative to start implementing English as

a Second Language [ESL] programs to help their employees adjust to work. The well-known Waldorf-Astoria in New York City is offering a company wide diversity training program which offers a wide range of programs, including ESL classes (Curan 53). These classes help the employees learn to speak proper English so they are able to interact with the guests. The most important aspect of hotel management is guest service. Learning English helps employees better accomplish this goal.

Why Should Companies Offer English as a Second Language Programs?

Many companies today hire immigrants to fill the lower skilled positions within their departments. A director of Human Resources in a Long Island Mailing Company says that she has a problem finding employees, and her solution is immigrants. She states, "We know what the job market is and we've found a work force that is eager to work and eager to learn" (LeDuff 30). These laborious jobs, about 25% of the total jobs offered in the United States, are not desirable to those with higher education, yet require a huge workforce. They are usually filled by immigrants who have just come to this country. Companies say that even in lower paying, manual labor jobs, employees with English skills work more efficiently and are able to eventually fill the pool of higher paying jobs and make more money once they learn these skills (LeDuff 30).

Another reason companies should train employees is that it can boost the level of productivity in the company. Carole Richards, President of North Coastal Education Services says, "On average, 33 percent of the average work force reads below the ninth grade level" (Livingston H1). A study done by the Indiana Literacy Fund estimates that the cost to the nation is about $225 billion because of accidents in the workplace, lower productivity, and lost tax revenues. They also state that workers who are unable to read or speak English are insecure, afraid of change, afraid of being found out, reluctant to give ideas, only work in teams, and do not take on added responsibility for fear of not doing it properly (Livingston H1). Many people who are unable to speak English properly take the first job that they are offered because they need the money. These people are afraid to admit they are unable to write or speak English for fear of losing their job and income. Completing the assigned task is the workers priority; they do not think of the safety issues involved if they are unable to read warning signs or chemicals they work with. Yet, as my boss, Gary Wimmer states at every safety training meeting he conducts, "No one should injure himself for a paycheck."

Effect of ESL Programs in Other Companies

An example of the way I would like to run English as a Second Language classes the way Bergen Pines County hospital does. The hospital realized their need for better employee English skills. The Director of Volunteer Services at the hospital said, "The better educated the employees, the better they are going to serve the hospital" ("Companies" B01). They began an ESL class in which the employees were allowed an hour out of their regular work time to be tutored once a week. The classes are held in the workplace and are run by the groups Literacy Volunteers of America, Project Literacy U.S. Plus, and the Adult Learning Center at Bergen Community College. At Bergen Pines, which

employs 2,000 workers, community volunteers who are trained by the Adult Learning Center at Bergen Community College teach basic skills. Markay says, "From the employees point of view, they are getting the training they need, they don't have to pay for it, don't have to take it tutoring on their own time, and they don't have to worry about transportation because it is right here at their workplace. We are getting better educated employees" ("Companies" B01). This program offers employees the ability to learn to read, write, and speak in English. They even offer a GED in ESL studies.

The hospital was able to find this group by calling the NJ Department of Labor, who put them in touch with the group and college. The NJ Department of Labor even provides funding for ESL training to companies that prove they will be able to be more productive and benefit from the program. The Department of Labor funds the people who teach the class, the textbooks, and the notebooks. The expense to the company is the lost worktime they give each employee who attends the class ("Companies" B01).

Ford Motor Company has opted to offer the classes before and after shifts instead of during scheduled work time. Employees are offered the ESL classes free of charge and are also allowed to bring their spouses ("Companies" B01). Another hospital, St. Mary's, in Passaic, NJ has received a grant from the American Express Volunteer Action Fund, who has given out 76 grants in total to companies in which their employees volunteer. The volunteers are using the grant money to purchase educational material to teach ESL classes for the hospital. Their class will focus on vocabulary that would be helpfully to employees who work in the hospital atmosphere ("Volunteer" N4).

Marriott International offers free ESL classes as well as tuition reimbursement for employees who want to take more advanced courses at community college. They offer lessons of small talk that teach the employees about rules of fire safety, most importantly, and then also teach them key phrases and words to be able to greet all guests coming in and out of the hotel. One of Marriott's directors of training stated, "And we share lesson plans with our managers on a weekly basis so they can reinforce learning in the work environment. The idea that we are developing our hourly work force is critical and gives us a real edge. It really does drive associate loyalty" (Oldham 4).

All of the companies mentioned above have implemented these programs and have been successful in improving their business. JDS Uniphase needs to look at these examples and realize the amount of money that will be saved and also the reduction of injuries that will occur. Employees want to be cared about by their employer. It is not fair to make people work in an unsafe environment. What is truly unfair is that many employees are unaware that they are not safe. JDS Uniphase **is required by law** to provide a safe working environment and to educate its employees adequately about safety issues.

Solutions

As pointed out, one big solution to the problem of safety is to teach employees English writing, speaking, and reading skills. By doing this, we will be providing a safer workplace and also increasing our productivity. There are many volunteer organizations

that offer these classes to companies and will tailor what they teach to our needs. We should use volunteers rather than professional ESL instructors because in many parts of the United States, the demand for adult English as a Second Language instruction outstrips the supply (Fitzgerald). There is proposed and actual legislation at the state and federal levels that includes budget cuts and welfare immigration reform. This is going to result in a greater imbalance and put strain on adult ESL instructors. Volunteer teachers will take action and fill in the gap (Schlusberg, Mueller, 1995).

First, we can call the NJ Department of Labor to see what local groups in the area are able to volunteer time to teach classes for the employees of the company. This will be the cheapest and most effective way to find a solution to the problem. As long as we can prove our case to the NJ Department of Labor, they will be willing to fund the classes. To estimate our needs, we can look at all the examples described who have a similar number of employees as we have now. But, as we both know, this company grows by over 100 people every two weeks, so we need to also look at a plan that will work as we grow. The plan I propose we use is to get a volunteer organization such as Literacy Volunteers of America to come in once or twice a week and teach ESL classes. These classes will run for an hour each and there will be different time slots available so all three shifts will have the opportunity to take the classes. The classes will teach basic skills of fire and chemical safety needed for the job. Employees will be able to read an MSDS for the most important information of the chemical so they know the safety precautions of handling it. Also, we will stress the importance of trusting the supervisor and not being afraid to ask any questions. We will teach them that they should not be handling or using anything if they do not know what it is.

I propose we give an exam which all new and existing employees must take to evaluate their English skills and whether or not they need to attend these classes. Also, all who pass the exam, but would like to still take the class will be allowed to do so. We need to implement a reimbursement policy if an employee decides to take a class at a community college. We can run it very similar to our tuition reimbursement policy. He or she must bring in tuition and book bills and we will reimburse the full amount paid.

Conclusion

By implementing these programs, we will see the amount we pay for work related incidents drop significantly and also be able to bridge the communication gap between employees and management. This will make JDS Uniphase more profitable and increase our level of productivity. I hope this information I have proposed to you can be put to good use within the company and that you see the reasons why we need to implement an ESL program right away. If you have any questions or would like a full copy of my proposal, please feel free to contact me at xxx-xxx-xxxx. I have also attached a list of references that you might find useful to research the topic I have discussed. Thank you for your time and I hope to speak to you in the future.

Sincerely,
Cindy Bast

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Improving Child Care Options for Student-Parents

This midterm letter shows a project that developed out of the writer's personal concerns. There are several typical dangers in such projects. First, it is usually best to project an appearance of disinterestedly seeking the best solution, but with a personal project it is hard to avoid the appearance of self-interest. Second, because you have personal knowledge of the problem you are tempted to expect others to take your word that the problem exists rather than doing the necessary research to show objectively that it does. Third, such projects often need to be "socialized," so that the writer looks beyond his or her own narrow concerns to see how the problem impacts a larger group of people in the community. Fourth, the writer can have difficulty getting beyond a letter of complaint format toward a sense of project that actively works to create a with the reader.

How well do you think this writer manages this situation? What does she do well? What could she have done better?

75 Oak Court
South Brunswick, NJ 08902

February 21, 2001

Mr. Carl Sussman

Fund Manager, Sussman Associates

294 Washington St., Suite 330,

Boston, MA 02108

RE: ON-CAMPUS CHILD CARE

Dear Mr. Sussman:

Your organization's mission is to improve child care programs and facilities. For students at Rutgers University in New Brunswick, the cost of child care along with inappropriate age requirements for children to be admitted, and unsuitable operating hours of the on-campus child care facilities pose a problem for parents. I feel that my project matches the objectives of your organization and therefore I ask you to consider my proposal to improve the current on-campus centers.

PROBLEM

As a mother of a one-year-old, I am personally familiar with a very common problem: affordable quality child care. This issue concerns working parents, and maybe even more so, student parents, who often have a low income. Parents have several options to care for their children: relatives, in-home caregivers, family day care providers, day care centers, or staying at home (Howes). Often, relatives are not available for this service, and the

relatively expensive option of in-home caregivers is mostly not a feasible option. Consequently, the only possibility is out-of-home care, and for students, most conveniently a day care center placed on campus (Bergmann A8).

Rutgers students in New Brunswick are offered on-campus day care, although not to a satisfying degree. Child care costs are hardly affordable, the hours of operations of the existing centers are inconvenient, and only limited age groups of children are admitted.

Money
Current child care facilities are too expensive for students.

In local day care centers, the average cost of a full-time enrolled infant (less than twelve months old) varies from about $800 to $1000 a month. Infant care is most expensive, since the child-teacher ratio is required to be at most 4:1 by New Jersey law. Rutgers University hosts two centers that provide full-time care. Both offer reduced tuition rates for Rutgers students and staff varying from $600 a month to $670. Still, these amounts are out of an average student's budget.

Age
No care for children under 2 is available at Rutgers University in New Brunswick.

According to Carollee Howes, who works in the Children's Research Center at the University of Illinois, almost half of all mothers with children under one year of age are currently working outside their homes. Family day care is the most common out-of-home child care arrangement for infants, but the proportion of infants in center care is steadily increasing. It may be assumed that this number also includes students, showing that there is demand for care for children under the age of one at Rutgers University.

A survey conducted of 607 members of the National Coalition for Campus Child Care in 1995 showed that only 38 percent of the surveyed campus centers offer child care for infants (Thomas, Keyes and Boulton). Whereas, 98 percent of the on campus child care facilities offered care to preschool age children (three and four years of age) and 84 percent to five and six year olds' (Keyes and Boulton).

Open Times
Operating hours are inconvenient to students

Classes at Rutgers University start at 8:10 a.m., but many students finish their day after the last period at 9 p.m. Most day care facilities close at 7:30 p.m., which hinders student parents from attending late classes. Many business school classes are offered exclusively after 6 p.m.

While Rutgers has implemented several child care facilities, none really fulfills all three needs to serve students well: affordable, time and age appropriate. According to their brochure, the Livingston Day Care Center admits children from 2 to 6 years of age and offers rates from $635 to $695 a month depending on the age of the child as well on

Rutgers affiliation. Additional rates are available which are based on income guidelines and space availability. The center operates from Monday to Friday from 7:00 a.m. to 5:30 p.m., which might be adequate for Rutgers staff, but not necessarily for students. A second on-campus center, Campus Kids, has very convenient operating hours, allowing children to stay until 9:15 p.m. The pricing is similar to the Livingston Day Care Center as well as the minimum age for enrollment (2 ½ years). Two other centers are offered by Rutgers. The Nutritional Science Nursery School offers care for 3 and 4 year olds, twice a week, for 2 ½ hours at a time. This facility, as well as the Douglass Developmental Disabilities Center are primarily run for research purposes and can only accommodate a small number of children.

According to the U.S. Census Bureau, the 1999 population in New Jersey reached over 8.1 million including 540,000 children under four years of age. Fifty-nine percent of children under six have working parents. Transferring these numbers to the population of Rutgers students of approximately 28,400 shows that there certainly is a need for proper child care for students.

LITERATURE REVIEW

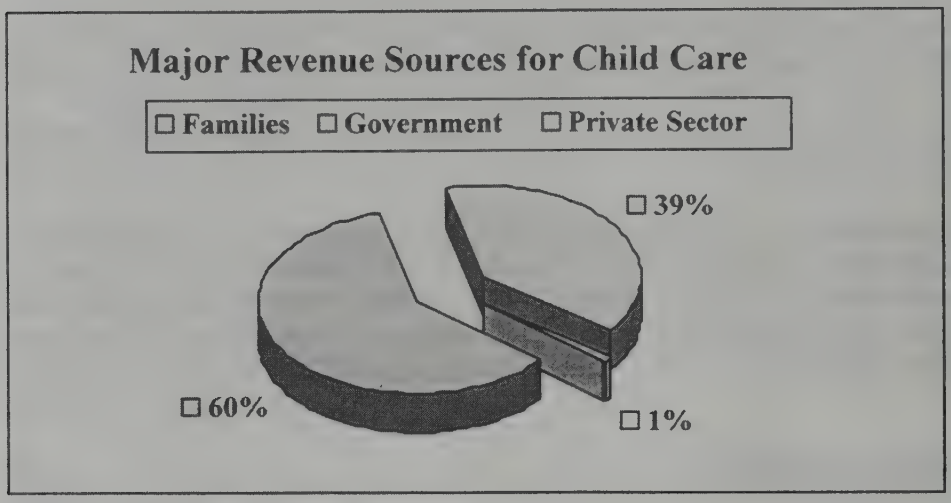
History of Campus Child Care

Child care programs have existed on campuses since the turn of the century, although their focus has changed considerably within the last two decades. The first program noted in literature was a campus laboratory school at the University of Chicago. In 1916 the same faculty established the first parent cooperative. During the 1920s campus centers "provided a forum for studying children, training teachers and educating parents." During the 1930s and 1940s these laboratory schools doubled in order to provide training for the increasing number of personnel needed in the emergency schools of the Depression and in the child care centers during World War II. In the 1970s the need for more centers rose due to the increased number of nontraditional students and the advancement of women's issues. The 1980s saw yet another upsurge of interest in child care centers, including a re-emergence of faculty and student activity and union interest (Keyes and Boulton).

Financing Child Care

The increasing demand for child care (Lombardi 3) led to greater recognition of the need for more funding for child care services (Child Care Bulletin). "According to Census Bureau figures, child care costs are on the rise (Child Care Bulletin)." Due to limited federal funding, only twelve percent of eligible children received federal assistance in 1999 (U.S. Department of Health); therefore, universities must find their own child care solutions for their students and staff. Shrinking budgets and a shift in priorities of universities often do not leave much funding for such programs like on-site day care centers (Thomas). Thus, there is a need for a more affordable solution for students at Rutgers University.

Direct funding from the government and tax relieves do take some of the burden off of families, nevertheless, families are still the main source of child care financing (see Chart).



(Source: Child Care Action Campaign)

This chart shows that there is a need to "deprivatize" child care facilities, just as they did with public schools (Bergman A9). Child care requires a lot of labor, thus costs are high and so are prices. Unfortunately, these revenues are not passed on to employees in child care centers who work for very low wages. If the government were responsible for the child care sector, just as it is for public schools, competitive wages could be paid and a professional work force could be attracted and retained (Bergman A9).

The Facts

According to Abdullah, a writer for the New York Times, there will be roughly 6.5 million students in the U.S. aged 25 and older by the year of 2005 and the best ways to serve these students is with on-campus child care. "For many, the ability to find adequate, affordable, child care can make the difference between remaining in school or dropping out (11)." A study by Keyes and Boulton at community colleges reveals a strong relationship between the existence of centers on campus and academic success. More than 80 percent of the survey's student parents reported that child care availability was very important in their decision to attend college. In fact, 46 percent asserted that campus child care was a first priority factor that facilitated college enrollment (4). Almost 60 percent of these parents indicated that they would not have been able to continue attending college without these child care services. Twenty-six percent of student parents that were academically successful in their first semester increased their work load the following semester. More than 95 percent cited child care as crucial in making that decision (4).

Sometimes students become so desperate at to actually bring their children to class, which certainly poses a problem to some universities (Abdullah 11).

"Employers with inadequate child care are more likely to be late for work, absent, or distracted on the job. High rates of turnover, absenteeism, and low productivity cost employers money. Investing in child care produces bottom-line benefits..." (Child Care Action Campaign). The same must be valid for all occupations, including students. Therefore it is a priority to equip not only workplaces with adequate child care centers, but universities as well.

Currently around 1,700 campuses offer on-site child care, many of which are used not only for the purpose of caring for children, but also for research purposes (Abdullah 11). Jane Ann Thomas' research shows that 52 percent of the 607 examined campus child care centers fulfill both functions of child care service and laboratory school. This double function might facilitate the financing of such an institution and reduce the risk of falling victim to budget cuts (Thomas).

MY PROPOSAL

Based on the opinions of experts who have been reviewed through the literature, it appears that Rutgers University needs a program that provides students with affordable, age appropriate and timely adequate child care. This program would need an initial investment to get started and eventually run on its own. Students who enroll their children in the program will have the opportunity to actively participate in the program and thus reduce their child care cost. An alumni association will pool its resources to assist the child care center. Senior citizens will also participate in the program in order to reduce costs and provide valuable input. In order to ensure the quality of the care, employees (full-time, students, senior citizens) will receive adequate training and all teachers will be fully certified.

The grant I am seeking will cover the costs of improving the physical space as far as this might be required as well as obtaining necessary equipment and furnishings. Training will be required for new student caregivers as well as senior citizens.

With a well functioning child care center on campus, students will have the full opportunity to exploit their educational options. The value and convenience of such a day care center on campus cannot be argued. Affordable quality child care is being sought all over the world. We have the opportunity to provide our community with such an institution. Why should we waste our resources?

Thank you very much for taking the time to read my proposal. I would like to invite you to my oral presentation on this topic on Tuesday, March 27th at 3 p.m. in Beck 201 on the Livingston Campus in Piscataway. If you have any questions regarding my proposal please feel free to contact me anytime at (732) 555-0678. I am looking forward to hearing from you.
{Name withheld by request]

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Food Residuals Disposal Program

Natasha has already done a great deal of research on this topic, and her knowledge helps her write a convincing argument. She combines her interests in Engineering and Economics to come up with a unique solution to a common institutional problem. Including information about costs and savings shows that she realizes that universities are also businesses. Do you agree that this is a strong midterm proposal? If so, what makes it strong? What is the writer doing well that we all could emulate?

[Address withheld]

March 6, 2001

Ms. Priscilla Hayes
New Jersey Solid Waste Policy Group
Department of Agricultural, Food and Resource Economics
Cook College
55 Dudley Road
New Brunswick, NJ 08901-8520

Dear Mrs. Hayes:

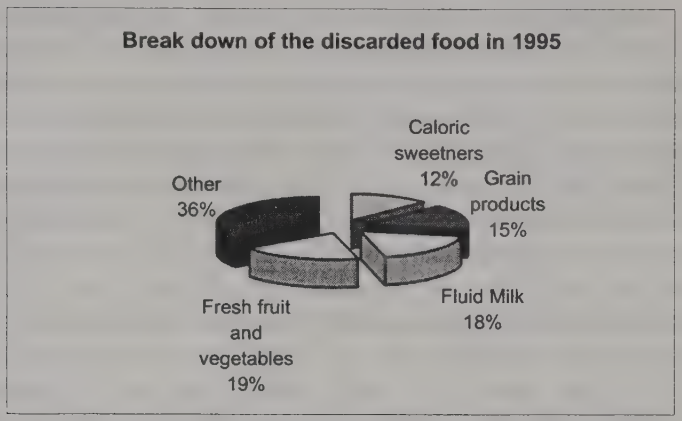
I am a third year student at Rutgers University, obtaining degrees in Industrial and Systems Engineering and Economics. As an engineer, I believe that all engineers have an ethical obligation to their communities to promote environmentally sound innovations wherever possible, and as an economist I think we should maximize profits whenever possible. These two beliefs have led me to propose an environmentally friendly yet cost-effective recycling initiative to you and the New Jersey Policy Waste Group.

Last year I attended a meeting given by the DEP at which you were present. The meeting addressed ways to reduce the amount of waste in the New Jersey waste stream, and you touched on how the recycling food residuals should be enforced by the DEP in facilities throughout the state. At that time I did not know how large an effect food waste had on the environment or how costly it was for to dump this trash in a landfill. But after further research I now conclude that a company's trash is a business in and of itself. My project proposal is that Rutgers, the State University of New Jersey, can divert less food residuals to the waste stream by considering a new technique of recycling food residuals, through pelletization. I hope that you find my proposal sound and feasible.

Problem

Industries in corporate America as well as higher education institutions and healthcare entities service a great amount of people through various dining facilities. According to Inform, a nonprofit organization located in New York, the US Department of Agriculture estimates that retailers, food service operations, and consumers discarded more than forty-five million tons of edible food in 1995. This is equivalent to at least one pound of

food per meal per person a year (Inform 1). This waste, known as food residuals, is then relocated to landfills across the U.S., where it can take decades to decompose. During an interview last spring, John Metzger, marketing manager of Enviro-Feed stated, "Dumping of waste is very expensive and the most hazardous substance in landfills is organic matter as a result of food residuals."


Break down of the discarded food in 1995
Caloric sweetners 12%
Grain products 15%
Other 36%
Fluid Milk 18%
Fresh fruit and vegetables 19%

(Source: "INFORMATION: A Bite Out of Food Waste.")

The New Brunswick campus of Rutgers University has over 30 dining facilities, commercial and non-commercial, and is a major producer of food waste. Michael Westendorf, a specialist at the university, estimates that Rutgers accumulates anywhere from fifteen to twenty-five tons of food residuals a month, depending on whether classes are in session or not. There are various ways to recycle food waste, the most popular ones being composting and feeding livestock. Rutgers University presently participates in the latter, where the remaining food is steamed to get rid of impurities, and then sold to farmers as livestock feed. In a March 14, 2000, interview, Westendorf explained that this process is not very efficient because only certain animals can eat the food and the residuals cannot be stored for a long period of time. Also the steamed food is not very marketable. If Rutgers University were to begin to recycling food residuals via a new process known as dehydrating or pelletizing, the university would solve two problems: getting rid of the food waste in a cost-effective matter and further helping the environment. Pelletizing food residuals means sorting and then freeze-drying it into aspirin-sized pellets. The pellets have a longer shelf life, can be transported easily, are high in protein and therefore can be sold for a higher price than steamed food.

Feasibility of a Proposal

A handful of companies are in the United States are exploring their options in the area of recycling food waste. In 1999, USE Waste Services, Inc. [USA], acquired Compaction Waste Services and began servicing Hunts Point Terminal Market [HPTM]. HPTM is the world's largest produce market and generates between eight and fifty tons of food residual per day, depending on seasonal fluctuations. In the past, Compaction Waste Services was diverting produce residuals to private composting plants located in the

greater New York metropolitan area. Tipping fees at these facilities were competitive with the costs of landfill disposal. USA, in the quest to find a more economical means of transporting its waste, hired City Green, an environmental consulting firm in NY, to determine the economic and technical feasibility of dewatering organic materials, thereby reducing trucking costs and tipping fees (Kraut 1).

In City Green's evaluation it was concluded that as part of the dehydration research project funded by the Empire State Development agency that even though dehydration is a more costly process than regular disposal, the final product can command a substantial positive value in the animal feed industry. Depending on the consistency and protein/fat content of the waste material, a dehydrated (less than ten percent moisture) end product can be worth $50 to $100/ton on a dry weight basis. Prices for the dried end product in the animal feed market will vary with the prevailing prices for commodities such as soybean and corn, which are near all time lows.

Another advantage dehydration has over composting, particularly in an urban setting where land costs are high, is the relatively quick processing time and small footprint to capacity ratio. The process time for the dehydration technologies considered is measured in hours, compared to composting, which may range from 28 to 90 days, depending on maturity requirements. This gives further evidence for using the pelletizing technique for a large facility such as Rutgers University (Turci 41).

Implementation of Plan

I hope you agree that food waste is harmful to the environment, that there are several techniques for diverting this waste from the waste stream, and that Rutgers University produces enough waste so that recycling is a viable solution. But perhaps you wonder how we can go about doing this? Fortunately, there is at least one readily available solution.

One New Jersey company—Enviro-Feed of NJ, Inc.—picks up from more than 130 sites in 14 counties within New Jersey, turning food residuals into feed at its Perth Amboy plant, which has been operating since August, 1999. The owners have been in the solid waste business for three generations and still operate a large paper and cardboard recycling firm. The Enviro-Feed plant is permitted by the New Jersey Department of Environmental Protection to handle 200 tons/day, and is currently processing at the rate of 50 tons/day.

The service provided by Enviro-Feed is advancing the business to the next level. Six top loading, noncompaction trucks are used to collect fresh food residuals from generators located as far away as 80 miles from its plant. The firm sets up the accounts with customers, trains their staff to source-separate food residuals from non-edible items and provides monthly documentation. Enviro-Feed charges lower rates for collection and processing than conventional disposal in the region. "Our fees are indexed from $20 to $100 less than the customer's existing solid waste removal costs. We work in partnership with our customers sharing in the prevailing market conditions," says John Metzger,

marketing manager. The company hopes to expand collections into the metropolitan New York area in the future. Generators are provided with 32-gallon lidded carts. "There are advantages to grocery stores using the carts," adds Metzger. "Their employees can wheel a cart to the produce aisle and cull any unacceptable fruits or vegetables right into the cart. They don't have to carry heavy bags of produce and lift them into dumpsters or compactors. The carts also eliminate odor problems. Many supermarkets are elegantly designed, and the owners don't want odors from compactors wafting back into the stores. Food packed into compactors becomes anaerobic producing very noticeable odors, and sometimes liquids leak out onto the pavement."

Enviro-Feed crews empty the contents of each full cart into the hopper of a collection truck. The cart tip-over height into the hopper is 30 inches making the handling and inspection of materials easy. The hopper is hydraulically lifted over the tailgate door, and the contents are dumped into the truck body. Collection crews are able to monitor the quality of source separation at each step during this process. If any nonfood items are found in the carts, the customer can be notified immediately and corrections made (Haydon 1).

Emptied carts are counted and the generator is given a ticket recording the number collected that day. Instead of weighing each cart individually everyday, the company estimates their net weight based upon sample weightings and the type of business producing the food residuals. "Net weights are typically between 100 and 200 lbs/cart," notes Metzger. "We check our figures periodically by weighing randomly in the field. Our customers also make their own tests from time to time, since they want the best value possible from the service. They can easily verify the amounts of food waste diverted each month by comparing solid waste compactor weights from before and after initiation of food residuals recycling."

Food residuals are collected three to six days a week, depending on the size of the account, the availability of storage space, and the perishability of the residuals. The collection infrastructure is designed to bring feedstock to the plant in fresh condition so that the nutrients are preserved for the final product. Six employees operate Enviro-Feed's 20,000-square-foot plant. The bulk food residuals are first run through a picking line to remove contaminants. The residuals are ground, and then blended in large tanks. The blended materials are pumped into a processing line and mixed with dry products to reduce the moisture content of the food residuals and make them easier to dry. This mixture is extruded in noodle form and brought by a conveyor belt to dryers where it is sanitized and dried. Drying also breaks the noodles into one-inch long pellets, which are stored in outside towers. Deliveries to customers are made in large bulk grain trucks. Occasionally, farmers come to the plant to get smaller loads of feed (Kraut 1).

Proven Results

In a case study produced last fall, a group of Rutgers University engineering students studied The Hilton Hotel in East New Brunswick. Prior to switching to the Enviro-Feed system, the Hilton used a compactor to dispose of its waste products. In addition to the

initial costs of purchasing the compactor, the Hilton was charged $180 every time the compactor was emptied as well as a disposal fee of $67 per ton. The compactor was emptied nine times a month; as you can see, this proved to be quite costly. However, with the Enviro-Feed system, the Hilton gained a savings of $500-$700 per month. This is a large amount to savings that can be re-invested to make a larger profit (Rogers, Lessanu, Liu 7).

Conclusion

My main objectives in this letter are to give a description of the pelletizing technique and show two things: how useful it could be to Rutgers University, and how economically sound it would be as an investment. Enviro-Feed is located about twenty minutes from the New Brunswick campus and is the most feasible contractor for this project. I appreciate your taking the time out to review my proposal. If you have any further questions or would like a copy of the Hilton case study, I can be reached at xxx-xxx-xxxx, or via e-mail at this address: xxxxx@eden.rutgers.edu.

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Sincerely,

Natasha Rogers

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Midterm Paper Workshop

Please fill out the following form for your partner and write on his or her draft.

Basic Requirements

1. Does it follow the format required by the instructor? ___ yes ___ no
   - Is it appropriately in letter or memo format? ___ yes ___ no

2. Is it addressed to the appropriate audience? ___ yes ___ no
   - Does it discuss why the reader is appropriate? ___ yes ___ no

3. Does the writer open by describing a problem? ___ yes ___ no
   - Is the problem adequately *documented*? ___ yes ___ no
   - Does the writer *quantify* the problem in some way? ___ yes ___ no

4. Does the body of the letter:
   - Argue in a way that would appeal to the *audience*? ___ yes ___ no
   - Refer to specific *evidence*? ___ yes ___ no
   - Offer specific *examples* or details from sources? ___ yes ___ no
   - *Describe* a specific paradigm? ___ yes ___ no
   - Offer a *researched rationale* for the plan? ___ yes ___ no

5. Does the writer describe the plan? ___ yes ___ no
   - Does it *follow logically* from the research? ___ yes ___ no

6. Does the writer invite the reader to his/her presentation? ___ yes ___ no

7. Is the *Works Cited* prepared according to MLA style? ___ yes ___ no

The Content

1. Briefly state, in your own words, what the writer is arguing and hoping to accomplish:

2. Why should the reader be interested in this proposal, *in your own words*? What more might interest this specific reader?

3. What proof does the writer offer to support his or her argument? What evidence is strongest? Weakest? Why?

4. What further research should the writer consider?

Chapter Six

The Oral Presentation

The Assignment

The Oral Presentation is a 10 to 15 minute spoken proposal addressed to your patron (i.e.: the person or people who might fund your idea). This is a formal presentation and you must use visual aids to help convey information clearly and effectively. The point of the presentation is to make a leadership statement for a specific audience that puts information into action by proposing a research-justified solution to a well-defined problem.

The oral presentation is both a useful step in the process of developing your project and a unique assignment for which you will receive a grade. It therefore serves two sometimes competing purposes:

- As an "oral draft" of the final project, it's an opportunity to rehearse your audience-awareness, to organize your research, to develop your plan, and to get feedback from the class and the teacher on how to improve your project. At least half of your grade will be based on how well you have researched your project and how well prepared you are to put together the final proposal.

- As an exercise in public speaking, it's a chance to practice the arts of oral persuasion. Part of your grade will be based on how well you perform as a speaker.

While instructors will generally focus their grade and their remarks on the strength of your content, offering advice on revision, they will also take notice of your form and poise. Usually, those students who have the strongest content do best overall.

The basic parts of the presentation are laid out below. I suggest that you read over the advice offered here, especially if this is the first time you have ever spoken before a group.

The Basic Parts of the Presentation

Every presentation will have to take its own form, based on the situation and the topic. If you are addressing a potentially resistant audience, for example, you may have to begin by winning them over or addressing possible objections they might have to your idea. Therefore, students should recognize that they cannot always adhere to a single form for the talk, and the outline below may have to be adapted to your particular needs.

As part of the drafting process of your proposal, the oral presentation gives you a chance to firm up your project and work out all of the parts. You should therefore keep in mind

the "Six P's" of the project proposal: patron, population, problem, paradigm, plan, and price. Your talk should suggest the basic form of the final paper, and should do these nine basic things:

1. Announce your topic with a "title slide," which should display your name and the title of your talk. This corresponds to your title page.

2. Begin by addressing your specific audience, explaining why they should be interested in your project. This corresponds to the letter of transmittal in the final paper, where you address the "Patron."

3. Give your audience some sense of how you'll proceed, perhaps with an outline. This corresponds to the table of contents in the final paper.

4. Define the problem and try to quantify it in some way. This corresponds to your introduction section of the final paper, where you will generally lay out the "Problem."

5. Present your research, being sure to cite sources. This will correspond to the research or literature review section of the final paper, which is where you develop your "Paradigm."

6. Describe your plan of action. This corresponds to your plan or procedures section, where you set forth the "Plan."

7. Tell us about your budget and explain the "Price."

8. Close with a call to action, which might correspond to your discussion section of the final paper.

9. Along the way, be sure to use visual graphic aids, just as you will in your final paper

The two main differences, then, between the oral presentation and the final paper is (1) that the oral is spoken and (2) that it is missing a bibliography of sources.

How to Prepare

As with all assignments, you'll have to prepare in the ways that have worked for you in the past. But here is some advice if you don't know where to start:

- **Research your imagined audience.** Who do you imagine might come to your talk? What is their degree of prestige and power? What level of knowledge or technical sophistication do they possess? What are their names? Many people like to begin their talk by welcoming the people in the imagined audience and thanking some of

them by name for coming. The more specifically you can imagine your audience the better your talk will be.

- **Plan ahead.** You can't wait to the last minute to prepare for a talk, and the sooner you start the better. The most important things to work on ahead of time are your visual aids, especially any visual graphic aids you want to use, such as video, slides, or laptop computer images. The sooner you begin putting your overheads and visuals in order, the more secure you will feel about the presentation itself.

- **Focus your talk around key points or examples.** Remember that you can't cover everything in your talk, but you will be able to cover the major points of your argument and the chief examples that support you (which you should be able to discuss in detail). If you can establish these points on paper, you will be able to focus your work.

- **Prepare an outline.** You will definitely want to prepare an outline for yourself, and you likely will want to provide your audience with an outline as well so they can follow you more easily. As you outline, pay attention to the logic and flow of your talk.

- **Develop solid visual graphic aids.** Remember one rule of thumb: if it can be represented visually, then it should be. You should have at least three visual graphic aids (visual representations of numerical information), but if your talk will cover technical information or you will be referencing numerical information you may need to use more than that. These should be effective and useful to your talk.

- **You might prepare notecards for details.** You shouldn't read your talk, but you may need to write some things down for reference. You may want to use notecards to remember numbers, names, and key details you want to cover. Number your notecards so you can keep them in order, and try to key them to your outline for easy use.

- **Know your information and examples so you can talk about them freely.** One of the best ways to prepare for the talk is just to read over your research so that you know your topic well. If you can talk about your key examples off the cuff, then you will do fine.

- **Rehearse the talk out loud.** The key to preparing any fine performance is a dress rehearsal. Practice in front of the mirror or, better, in front of a friend. Time your talk to make sure it will not run over 15 minutes (you'll be surprised how easy that is to do), and so you have a better sense of time management. If you are especially nervous about speaking in a classroom, rehearse your talk in an actual classroom.

- **Get some sleep the night before.** A good night's sleep may be the best preparation for any situation where you will be the center of attention.

- **Double check everything.** Make a checklist for yourself. Are your overheads in order? Do you have your notecards? Make sure you have everything covered. Arrive early to test and set up any equipment you plan to use.

The Question of Delivery

Delivery is all about ethos. Do we believe you? Do you impress us? Do you know what you are talking about? Like the way you package and present your final paper, the way you present your information will go a long way toward keeping their interest and attention. Here is some general advice on delivery:

- **Dress the part.** Students always ask, "Do we have to dress up for our presentation?" I usually respond, "It depends on your imagined audience." You should definitely wear clothes that are appropriate to the context. If you want to make a good impression, it's generally a good idea to break out some of your better clothes. Sweat pants will not reflect well on you in any situation. For men, a tie is always best, but an outfit you would wear on a casual Friday at an office job might do. For women, any outfit you would wear to an office job should be sufficient. Ask your instructor for specific guidelines.

- **Create the context.** Clothes are only part of setting the stage for your talk. You'll also want to indicate your imagined audience and acknowledge their interests whenever possible. Highlight the fact that you know your imagined audience well and make sure that you keep them in mind throughout.

- **Use a tone appropriate to your imagined audience.** One way of keeping the audience in mind is by using the same language and tone that you'd use if they really were in the room. If you are asking University officials for money, for example, you wouldn't want to talk about "the RU Screw."

- **Enunciate and speak clearly.** This doesn't always mean speaking loudly, but you should speak clearly enough so that everyone can hear you.

- **Make eye contact.** Try to make eye contact with everyone in the room at some point during your talk.

- **Don't rely too much on notes.** Organize your presentation around an outline and use notecards, but *do not write out or read the presentation*. In other words: speak it, don't read it. You should know your information well enough at this point to be able to speak with confidence and knowledge using only an outline and visual aids to support and guide you. If you need to write down facts, figures, names, or an outline, use notecards because they are relatively unobtrusive. Try not to put too much between yourself and the audience.

- **Project energy and "sell" your idea.** If I have one major criticism of student presentations, it's that they rarely give off much energy. Imagine that you are really

asking someone for money. You have to sell them on your plan. Turn any nervousness you have about the talk into energy and put a little bit of performance into your presentation. It will count for a lot with your audience and will keep them interested.

- **Ignore distractions and mistakes.** Everyone slips up here and there. Don't draw attention to mistakes, but move on so that both you and your audience can leave them behind.

- **Move for emphasis only -- don't pace.** Everyone has ticks and idiosyncratic actions that come out when they speak before a group. One person I know always holds a cup of water between himself and the audience as a sort of shield. Odd ticks are usually an unconscious way of defending yourself from the people you're addressing. Pacing, for example, presents your viewers with a moving target so they can't hit you if they start to throw vegetables or bricks. Try to recognize these actions ahead of time and work through them. You have nothing to fear from your listeners, so try generally to stand still. Just don't stand in front of the screen too often or you'll be blocking people's view of your visual aids.

- **Be careful with humor.** Many guides to giving oral presentations will tell you to begin with a joke to loosen up your audience. What if you're talking about an especially serious topic? Use humor in moderation and only where appropriate.

Advice on Overheads

Overhead transparencies are extremely useful and versatile, and they will likely not go out of style for a long time because they are relatively inexpensive, easy to prepare and transport, and widely available. Since most students rely almost exclusively on overhead transparencies for their visual aids, here is some advice on preparing and using them:

- **Begin with a title transparency**. Be sure to have a title transparency that sets the stage for your talk and introduce yourself and your topic. It also helps to make a good first impression -- especially if it is well prepared. The title slide, like a title page, should display your title, your name, and your organization. Use white space, graphics, color, or design elements that are consistent with your other slides to make it attractive.

- **Use a transparency for each section of your talk.** Each section of your talk -- or even every topic you cover -- should have its own overhead. This way you can mark the turns in your argument by changing the visual image, and you can help guide your audience through each part.

- **Have one theme per transparency.** Remember not to crowd too much information onto each transparency. It's best to just try to cover one theme on each one.

- **Give each one a header (and number them if it helps you).** Each of your overheads should have its own head line or header, indicating the topic it covers. You might want these headers to correspond to the outline you presented earlier to make your talk easier to follow. Headers should have a consistent style and form and should give a good idea of what you'll cover in that section of your talk. You might also want to number your overheads -- perhaps keyed to your outline -- so that your audience can follow more easily and so you will be able to quickly put your overheads back in order if they become mixed up.

- **Be sure to cite sources on graphs.** Each visual graphic aid that uses information derived from a source should have a "source" reference at the bottom, fully visible to your audience.

- **Use large letters and a clear font.** Remember that your overheads have to be seen in the back of the room as well as the front. Make them as clear and as large as possible, yet strive for an attractive appearance.

- **Maintain a consistent font and style**. All of your overheads should have the same font and if you use a border it should be the same on each one. Often it is less important to follow any rule than it is to be consistent in the styles you choose. Such consistency helps to project a sense of unity to your presentation.

- **Try a unifying border or logo**. To help further project that image of unity, you can use a logo or border on each overhead. This is especially useful when you are representing a company, where you may want to have your company logo or a border with colors or a style consistent with your company image.

- **Jazz it up with color if you can**. There is no question that people are impressed by color, and your presentation will stand out more if you use color in your slides and in your visual aids. However, if expense is an issue you may want to stick to black and white.

- **Strive for active voice**. Use active voice forms in your overheads whenever possible, just as in all business writing.

- **Put numbers in a visual graphic form**. Remember that if something can be illustrated it probably should be illustrated. A picture is not always worth a thousand words, but it will usually keep you from using a thousand words to say the same thing. If a number or an idea or a definition or a procedure can be illustrated it probably should be. Also, if you can use an overhead to help reinforce your audience's understanding, then be sure to have an overhead.

- **Let the audience absorb each overhead.** Too often students don't leave their overheads up long enough, often because they are hurrying through the presentation. Try to manage your time well and use an overhead for each section of your talk, leaving each one on the projector until you raise a new topic.

- **Point to your overheads for reference.** Draw your audience's attention to key aspects of your overheads by pointing to them. You can do this in several ways -- on screen, on overhead, with a shadow, or with a transparency pen.

Some Overhead Don'ts

- **Don't use all caps.** Studies show that people can distinguish words and parts of sentences more easily if you use both lower case and capital letters. Readers also perceive text written in all capital letters as shouting. And you should not shout at your audience.

- **Don't put too much information on each transparency, or use long sentences, because viewers cannot absorb it all.** Try to put no more than short phrases on each overhead, and don't overcrowd them. If you find yourself putting a lot of information on an overhead, then likely you need to break that information up to fit on several sheets.

- **Don't use letters smaller than 20 point.** Remember that the people in the back of the room will have trouble with small letters.

- **Don't violate the rule of parallel form**. Each overhead should have information that fits together in such a way that you can list it using phrases in parallel form. This helps the audience to see connections and to organize information.

- **Don't be inconsistent in capitalizing words**. In fact, don't be inconsistent about anything. If you make a choice

- **Don't forget to proofread for typos**. Typos on an overhead are like an unzipped fly: they destroy your ethos and make you look silly.

Final Words of Advice

Recognize that it's normal to be nervous.
Most people feel a bit nervous whenever they have to speak before an audience, especially the first few times they have to do so. Remember that this is normal. If fears persist, though, here are a few thoughts that might help you get past your fears:

- Remember that you know more about your topic than anyone in the room. Just try to make yourself clear and you will automatically have something to offer the audience.

- Your listeners take your nervousness for granted. In fact, since most student listeners are not used to giving presentations themselves, they expect everyone to be nervous and will either overlook or identify with your situation.

- This might be the most friendly audience you'll ever face. As fellow students, your listeners are on your side and generally want to give you high marks: I often notice that student reviewers generally see the most positive aspects of individual talks and tend to overlook problems (even after I have urged them to offer critical comments).

- Recognize that if this is your first talk it is a necessary right of passage. The more practice you have giving presentations, the easier they will get and the less nervous you will feel each time.

- Turn fear into motivation. Nervousness can be a spur to greater preparation. Fear is not necessarily a negative thing, but the way you respond to it has to be positive. One common negative response to fear is procrastination, which is merely avoidance behavior (a variation on running away). The best response to fear is work, which can only help you in developing your project and bolstering your confidence in your subject knowledge.

If you still have worries or fears, talk them over with your professor or with friends. The more you face your fears, the better off you'll be in the long run.

Don't talk down to your audience, but challenge them to follow.
The biggest mistake that students make in presenting a technical subject is trying to get their audiences "up to speed" by giving lots of background information, usually in the form of textbook knowledge, before they begin the presentation itself. Background information should not be presented at the start, for several reasons:

- It destroys the fiction you are trying to create that you are speaking to a knowledgeable audience. Right away, you have confused your listeners as to who your audience really is.

- It sets the wrong tone, making your audience feel like they are being talked down to by a school master. Treat your audience as equals and they will prick up their ears in order to become equal to your conception of them.

- It underestimates your audience's intelligence. Because you are speaking to a college educated audience, most of your listeners will already possess much of the basic knowledge needed to follow your talk. There may even be some audience members as expert as yourself in your field of study. Listeners will feel insulted by your explanations of "osmosis," for example, and will tune you out. Challenge them to tune in instead.

- It wastes time that you will need to present your idea. Remember that you only have about 12 minutes (and a maximum of 15) to give your talk. How can you present everything you learned in your core curriculum in such a short time? You can't, so don't try.

- It mistakenly tries to anticipate questions that are best left to the question and answer period. Remember, if someone in the audience doesn't understand something they can always ask about it afterward. And what question is easier for you to handle that the most basic questions where you get to show off the breadth of your knowledge?

- It will not make sense in the abstract. Because information is never useful except in context, audiences have a very difficult time understanding definitions, explanations, or lessons offered in report form apart from the flow of argument.

- It is unnecessary. If a presentation is organized logically, your audience will follow your argument even if they do not understand all of the details. If you feel it is necessary to explain certain technical ideas, remember that it is much more useful to offer such explanations briefly in the context of your argument (or in the question period after) than it is to give them ahead of time. Just do your thing with confidence and your audience will be impressed, especially if they don't understand all the details.

Logic should govern above all.
This final point was brought home to me once listening to a student presentation on training co-op students to use proper care and technique in recording information in the field so as to comply with government regulations. Basically, these students were making many small mistakes (such as recording temperatures in Fahrenheit instead of Centigrade) that were destroying the integrity of whole projects. What could be more understandable? Yet the speaker began by presenting "background information" about the type of studies the students were doing and the specific data they were collecting. By the time she had finished offering that long explanation she had to rush through her plan to train these students in better data collecting techniques. As one reviewer in the audience noted, "I had no idea what she was talking about until she said that these students were using felt-tipped pens on rainy days to write down information." Basically, the audience did not need to know what was being written down with that felt-tip pen to understand that such pens posed a problem in the field.

State your argument up front; don't keep your audience in the dark.
You'll never have your audience's attention more than you do at the outset of your talk. So tell them as much as you can up front. Someone once said that the best advice for giving a talk is to do three things: "One: tell your audience what you're going to say; two: say it; and three: tell them what you said." While following that advice literally will lead you to an overly formulaic presentation, it does suggest the importance of leading your audience clearly through your argument with all of the forecasting statements and signposts you can muster. As I suggest above, one of the easiest ways of helping your audience to follow your talk is to provide an outline at the outset and then use overheads to signal your transitions (just as you should use strong topic sentences to signal your transitions at the opening of a new paragraph in writing).

Focus on your evidence.
The most important aspect of the presentation is that you show that you have the evidence and research to support your assertions. Just as you would do in a written form,

be sure to cite your sources. Name the authorities who inform your paradigm. Name the sources for all statistical data you cite. Name the authors of studies or experiments that you reference. Describe examples or models you reference in specific detail. Emphasize that there is a wide array of evidence to support you in your claims.

Illustrate your budget with a pie chart.
As part of your plan, you must include a budget, since it is one of your imagined audience's biggest concerns. Since this is one place you will always have numbers to work with, why not use a nice pie chart or other visual aid to sum up your budget? A pie chart is most appropriate because it lets you enumerate both the total and the parts.

Close with a polished call to action.
The closing of your presentation should sum up the plan you have in mind and urge your audience to act upon it. Hence the content of your close should focus on what needs to be done, and it should take a form that tries to influence your audience to act. Use whatever rhetorical powers you can muster to get them to listen. Listeners tend to remember best what comes at the beginning and at the end of a presentation more than anything in between. Therefore, in the same way you should strive to make a good first impression, you should close your talk with words that reflect well upon you as a speaker and offer up the "take home" message of your talk in a memorable way. Some speakers actually write out their closing words in order to polish and hone their form and tone. A strong close also signals clearly the end of your talk and lets the audience know it is time to applaud.

Using PowerPoint to Develop a Presentation

You are required to use visual aids in your presentation, including at least three visual graphic aids (such as graphs or charts). While there are a number of computer programs that can help you do this, no program is as effective as PowerPoint in helping you put together a coherent slide show that combines words and images.

Why Use PowerPoint?

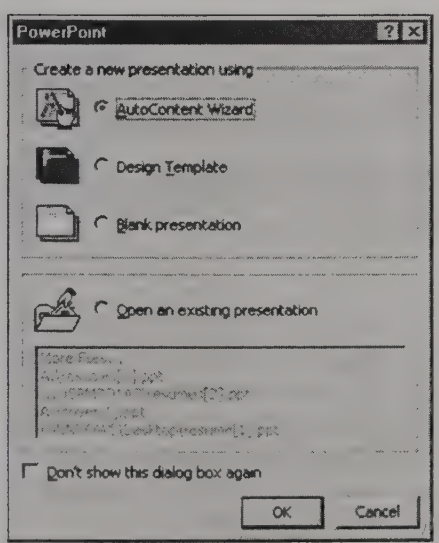
Transparencies can be just as effective as PowerPoint slides and may be your only choice if you are not in a Smart Classroom. However, PowerPoint slides can easily be made into transparencies. In addition, PowerPoint offers both the graph-making abilities of Excel and the text-making abilities of Word while giving you powerful tools for keeping your slides consistent in layout and design.

What to Include on Your Slides

Do not try to put everything you want to say on your slides or you will overwhelm your audience with information. Instead, your slides should emphasize the major points and primary evidence that you want your audience to remember. Focus your PowerPoint slides around key points or examples. Ideally, you should try to limit each slide's content to 4 to 5 bulleted points (never more than seven) that are about 5 words each (the sound-byte version of your talk). This way your audience will be able to focus on what you are saying rather than focusing on reading the slides.

Getting Started

Open PowerPoint. You will automatically see this screen once the program loads:



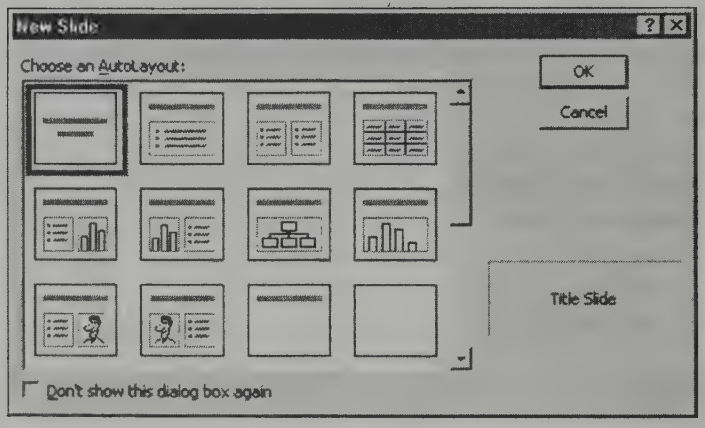
Because writing and presenting is an active decision-making process, the best presentations will usually begin by selecting either the "Design Template" or "Blank Presentation" option. This way you can control the content-making process so that your

presentation best suits your audience's needs. The design template offers you a professional looking presentation. However, these templates are somewhat generic and usually recognized by business professionals so you might consider creating your own template by selecting "Blank Presentation."

For a blank presentation, *select "Blank Presentation" and click OK.* Now you can see the slides that are available to create a presentation.

Creating a Title Slide

You should begin your presentation with a title transparency that sets the stage for your talk and introduces yourself and your topic. A good title slide will also help you make a good first impression. The title slide, like a title page, should display your title, your name, and your organization. Use white space, graphics, color, or design elements that are consistent with your other slides to make it attractive. Any of the blank presentation slides will work as a title slide, but the first slide choice is most commonly used.



Highlight the type of slide you would like to use. Click OK. Now you can edit the slide.

When you have finished, *be sure to save your work!* Once you have saved *start a new slide by clicking on "Insert" and then scrolling to "New Slide."*

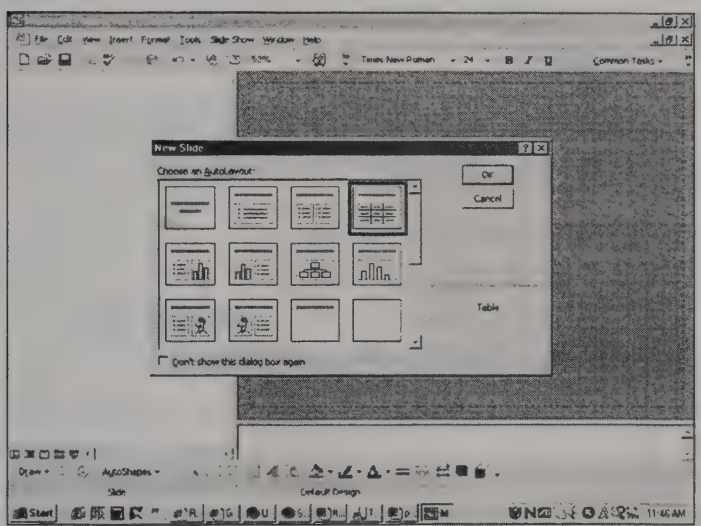
Organizing the Rest of Your Presentation

Before you select the blank slides for the rest of your presentation, think about the logical progression of your talk. You might find the Six P's a useful basic outlining tool, moving in order through Patron (why did you choose this audience?), People (who needs help?), Problem (what evidence do you have of a problem?), Paradigm (what research informs your solution?), Plan (how will your plan be implemented?), and Price (how much will it cost?). Try to chunk major ideas together on each slide, outlining your talk so that the audience can remember its most important points and understand the parts of your argument. For each section, ask yourself what the key ideas are and develop bullet points to represent each one. And spend some time thinking about what visual graphic aids will be the most powerful in persuading your audience.

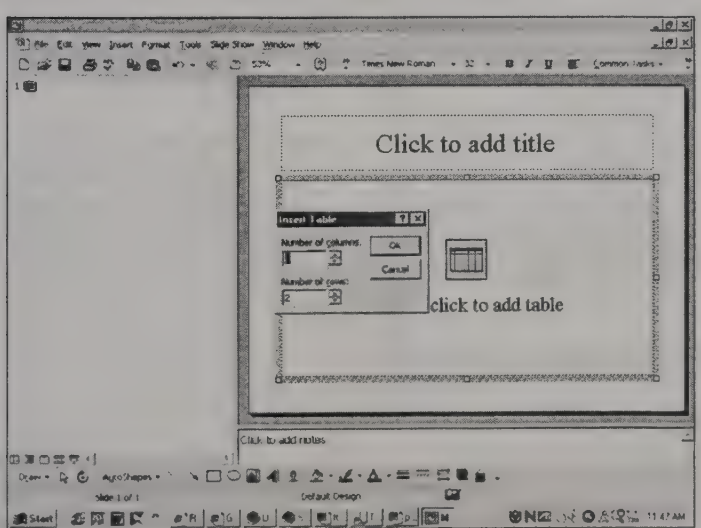
You should especially try to use visual graphic aids to help quantify the problem, since a picture can be a powerful persuader early on in your talk.

Inserting Tables

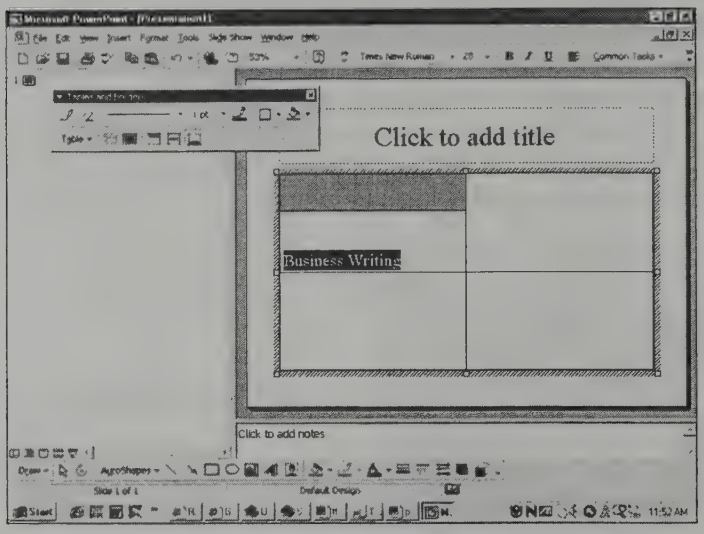
Tables are use for showing a large amount of numerical data in a small space. They provide more information than a graph with less visual impact. Because of the way they organize information into vertical columns and horizontal rows, tables also permit easy comparison of figures. Be sure to use concise, descriptive table titles and column headings. In addition, arrange the rows of the table in a logical order. When putting dollar amounts into tables, be sure the decimals are aligned for easy addition or subtraction. *To create a table click on the fourth slide.*



Before PowerPoint will insert a table, it asks you to enter the number of columns and rows you need. *Enter the number and click "OK."*

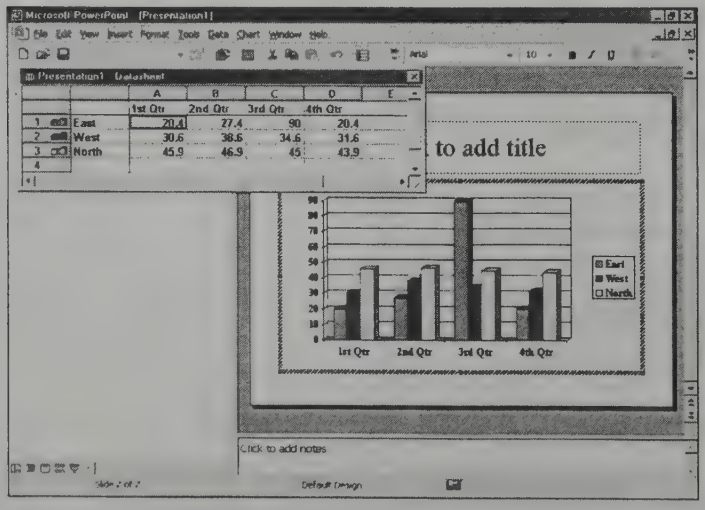


By using the Tables and Borders toolbar, PowerPoint enables you to align text with the top or bottom, center text vertically, change the border color, change the cell color, and manually split cells with the "draw table" button.



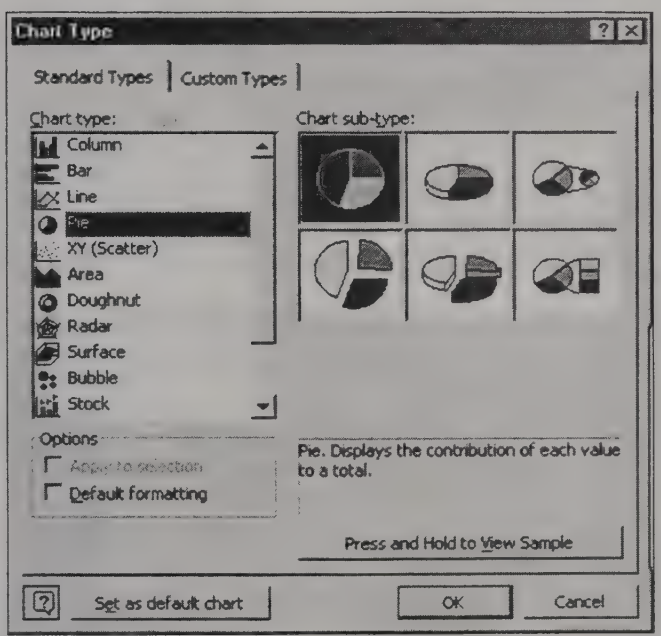
Inserting and Editing a Graph

Before you make a graph, think about the information you want to convey. Draw a picture by hand and think about if there is room for text on the page as well. *Choose a new slide that has a graph where you want it (with text or without)*, you will see a spreadsheet and a pre-formulated graph. If you don't see the spreadsheet, double-click on the graph and it will appear.



PowerPoint's graph making layout is like that of Excel. You do not draw the graphs yourself. Rather, you change the data in your spreadsheet and then PowerPoint draws the graph you need automatically. However, you can change the appearance of your graph directly. Click on any part of the graph to change its size, shape, or color.

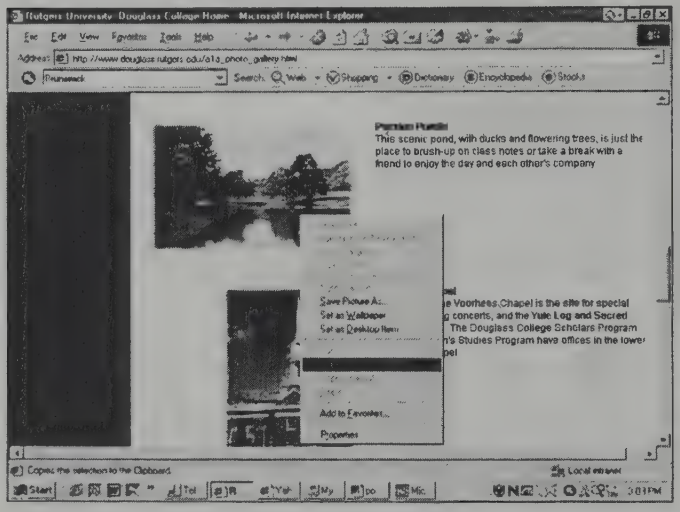
To change the type of chart your are using, click on "Chart" and scroll to "Chart Type." You will see the following menu where you can choose several different graphing options, including bar, graphs, pie graphs, line graphs, and even bubble graphs. *Select the graph that is best suited to conveying your data.* For instance, line charts are generally used to show changes in data over a period of time and to emphasize trends. Bar charts compare the magnitude of items, either at a specific time of over a period of time. Pie charts compare parts that make up the whole. With pie charts, you should start at the 12 o'clock position with the largest unit and work around in descending order.



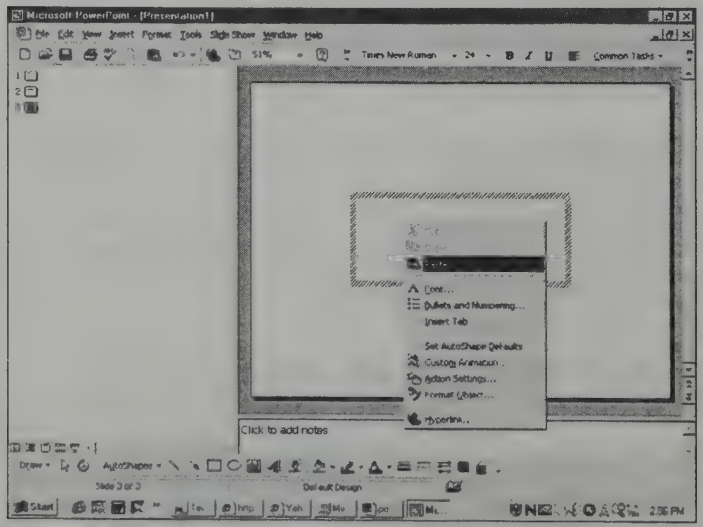
Whatever chart you choose, be sure to keep it simple. Your goal is to focus the reader's attention on the data in the chart rather than on the chart itself. In addition, you will want to label all charts as figures, and assign them consecutive numbers that are separate from table numbers. This way if your audience has a question about a specific image later, they can refer to it by name and number.

Using Photos and Graphics

The "power" of PowerPoint comes from the way it allows you to seamlessly integrate text and images. Images can be a powerful support for your message, though they can also distract from what you want to say if they are not well chosen. Ideally, you will want to develop your own original images to use in your presentation. But sometimes non-copyrighted graphics and images can be useful. *To insert clip art, simply double click on the image field and follow the screen instructions to choose items from the Microsoft Clip Art Gallery. To add an image you have saved on your computer, click on "Import Clips" and navigate to where you saved it. To include photos or graphics from a website, you can first save them on your computer or simply right click on the object and then click on "Copy."*

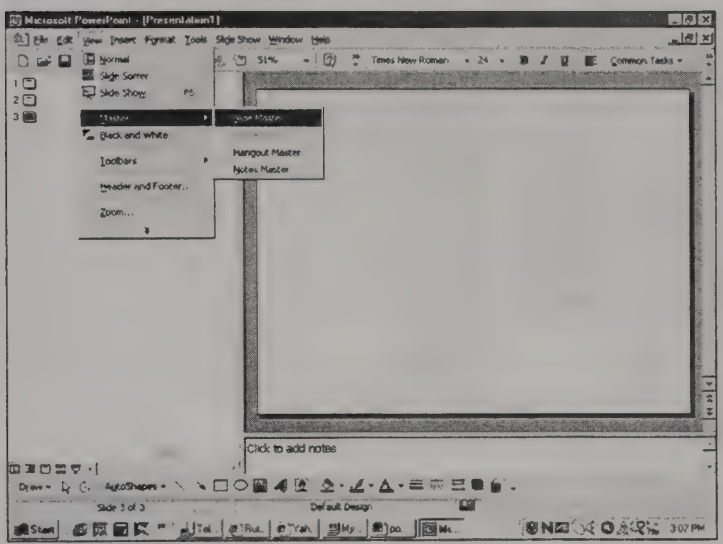

This scenic pond, with ducks and flowering trees, is just the place to brush-up on class notes or take a break with a friend to enjoy the day and each other's company
Save Picture As...
Set as Wallpaper
Set as Desktop Item...
Add to Favorites...
Properties

Return to your PowerPoint presentation. Right click on the slide where you want the object and select "Paste."

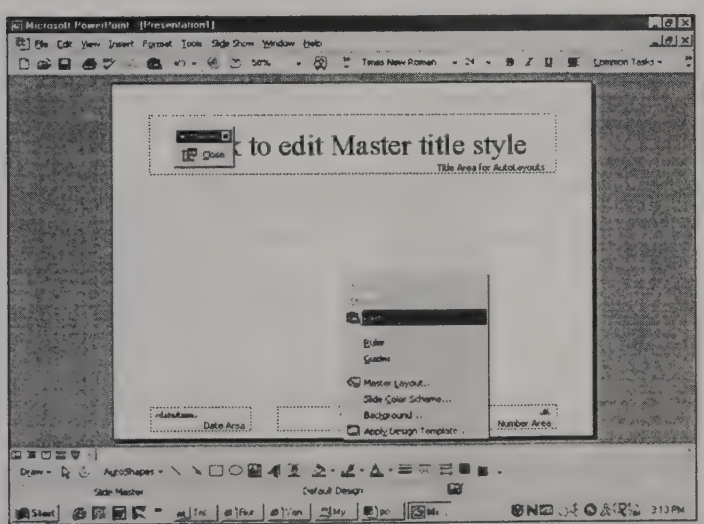


Making a Master Slide

You can also make any graphic or photo into a background for all of your slides. *To create a background go to "View," scroll to "Master," and click on "Slide Master."*



Right click on the center of the slide and select "Paste."



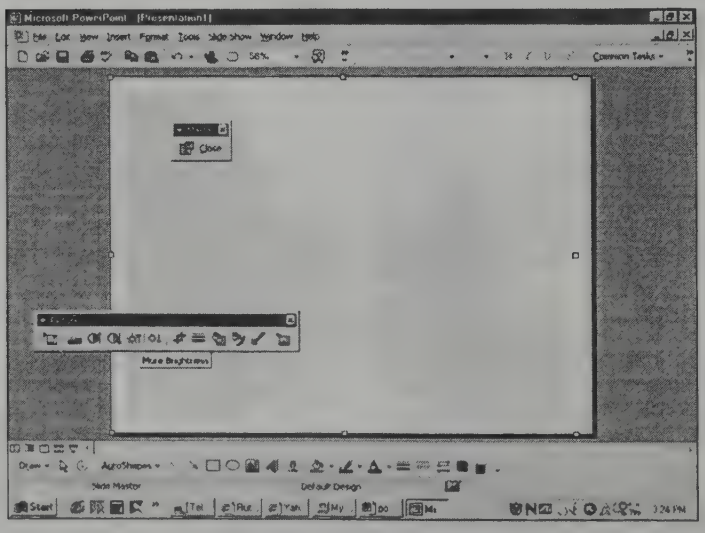
Click on the graphic. Grab a corner of the graphic and stretch the object across the screen so that it will fill the background of your master slide.

Sometimes it is hard to see text against an image background. But if the image is well chosen or especially appropriate to your topic it can help you to create an original background that breaks from the familiar generic backgrounds that most presenters use.

Also, there are ways to make a background image fade into the background so that your text and support graphics can take center stage.

To blend your image into the background of a Master Slide, try the following:

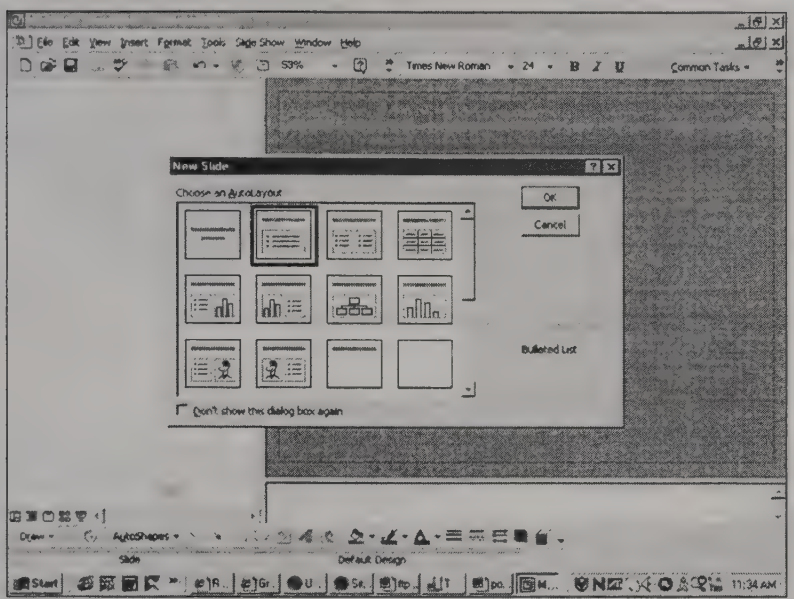
Click on "View." Scroll to "Toolbars." Check "Picture" and "Master." Alternate between clicking on "Less Contrast" and "More Brightness" until your background is light enough so your audience can read the text on your PowerPoint slide.



Click on "Close" on the "Master" Toolbar to apply this background to all of your slides.

Adding Text

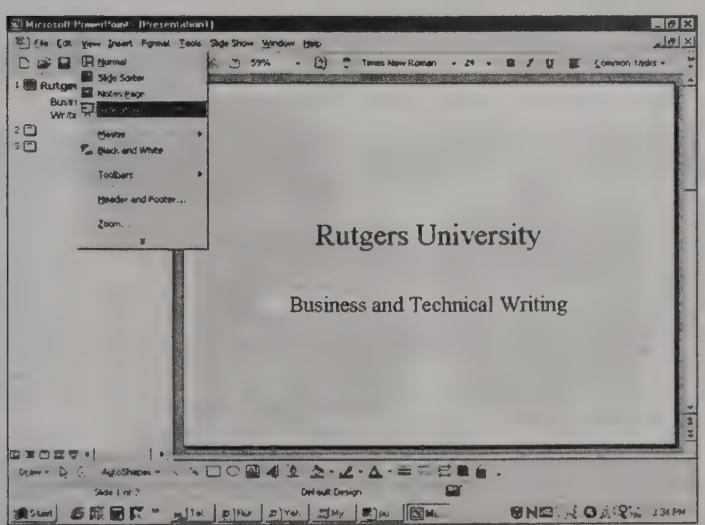
Once you have the basic visual layout of your talk you can add your text. This part is easy. *To make a slide with bullet points select the second slide from the New Slide menu.*



Add the text that you want.

Viewing Your Presentation:

To view your presentation, go to "View" and click on "Slide Show." Press the right arrow key to advance your slides. *To exit, press the "Esc" key on your keyboard.*



You are now ready to give a PowerPoint presentation!

Welcome…

Nassau County Water Authority

Director Bill Owens and staff

Water Conservation and Management Awareness Program Nassau County, Long Island, NY

Jennifer Small

November 9, 2000

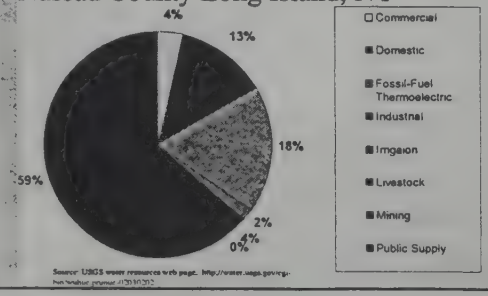
Agenda

- Water management and conservation – a brief introduction.
- Why is water conservation and management necessary for Nassau County?
- Suffolk County's water authority's conservation and management programs –why do they work?
- What actions can be taken to combat this problem?
- How much will this plan cost?
- Questions and Comments

Water Management and Conservation

- Environmental effects
  - Protection of natural resources
- Economic Effects
  - Costs are reduced or eliminated regarding contamination clean-up.
  - Regulatory compliance costs are reduced.
  - Improvement in material consumption efficiency (i.e. cleaner water)
  - Reduction of financial liabilities by decreasing the potential for cleanup and their-party compensation.

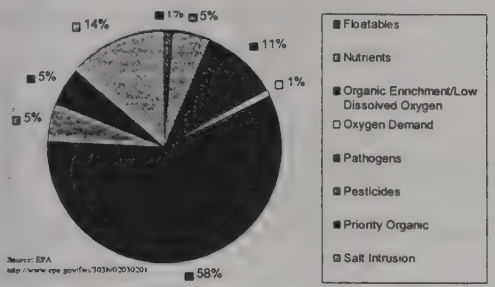
1990 Water Use Nassau County Long Island, NY



Nassau County's Water Contamination Problem

- Increased population in Nassau County.
- Development of Pine Barrens for housing purposes.
- Increased strain on watershed due to increased water demand.
- Addition of anthropogenic pollutants.

[redacted]s of Concern for Nassau County Long Island, NY



Suffolk County Water Authority Programs – A Model

- Pollution Prevention Program
  - Aimed at businesses and industry.
- Groundwater Guardian Program
  - Similar to "Adopt-a-Highway" programs.
- Read H_2O Program
  - Aimed at homeowners.
  - Reading your own water meter and calling it in to the SCWA.
  - Participation eliminates estimated readings and keeps meter reading costs reasonable.

Benefits of the SCWA's programs

- Pollution Prevention Program
  - Increased waste reduction
- Groundwater Guardian Program
  - Involves the entire community
  - Increases familiarity with the water cycle on Long Island
- Read H_20 Program
  - Saves customers a dollar each quarter and eliminates estimated meter readings.
  - Water rates are among the lowest in New York State.

Improvements on SCWA's Plans

- Information presented in an easy to understand manner.
- Demonstrations on site during the seminars of products and hardware instillation and uses.
- Seminars aimed at local community rather than solely at business and industry.
  - Domestic use is a far greater percentage of the total water use than commercial use.

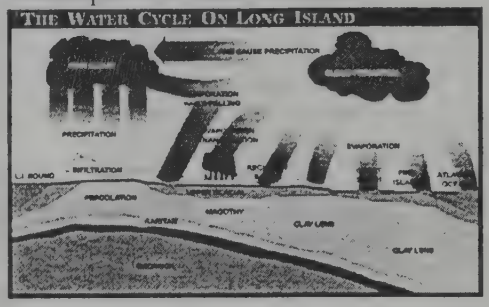
Plan Of Action – Basics

- Advertisement for seminars
- Educational seminars in ten locations.
- Total of six seminars spanning many topics geared to educate the public about water conservation in their community.
  - Distribution of informational materials and publications
  - Demonstrations regarding installation and functionality of hardware and water conservation products

Plan of Action – Seminar Topics

- History of water use in Nassau County.
- Current water use of Nassau County.
- The Magothy-Lloyd Aquifer system: Why do we use it?
- Types of water contamination in Nassau County.
- Water and well testing techniques.
- Water conservation methods an introduction.
- Water conservation methods and demonstrations.
- "Green" building practices and practical uses of water.

Example of Poster Content



Project Budget – Materials

- Ten American Legion hall rental
  - For Each: Six two hour sessions @ $75.00.....$4,500.00
- Advertising pamphlet printing
  - 2000 copies @ $0.15.....$300.00
- Ten sets of seminar pamphlets (7 types)
  - For each set: 9 x 500 double sided copies @ $0.20.....$900.00
- Posters for seminars
  - For each location: 4 posters @ $10.00.....$400.00
- Demonstration materials
  - Low-flow shower heads 10 @ $7.95.....$79.50
  - Low-flow toilet 10 $150.00.....$1,500.00
  - Regular flow toilets 10 $95.00.....$950.00
  - Faucet Aerators 10 @ $2.50.....$25.00

TOTAL for Materials.....$8,654.50

Projected Budget – Staff

- Ten session coordinators/lecturers
  - 12 hours @ a salary of $75.00/hour.....$9,000.00
- Support Staff: Three assistants per location
  - 12 hours @ a salary of $10.00.....$3,600.00
- Training Sessions.
  - Five sessions @ $500.00.....$2,500.00
- Total cost for Staffing.....$15,100.00
- OVERALL TOTAL.....**$23,754.50**

Questions and Comments

For more detailed information regarding my research please see me for a copy of my proposal and list of references.

Contact Information:
Jennifer Small
826 Page Ave.
Staten Island, NY 10307
Email: jdsmall@eden.rutgers.edu

New Training Program for General Chemistry Department of Accutest Laboratories

Sabrina Miller
General Chemistry Analyst
Monday, April 16, 2001

Outline

- My interest in this project
- The problem with the current training methods
- Success stories of other companies
- My plan for Accutest
- Budget
- Potential Problems
- Summary
- Questions?

Why I Chose This Project

- My personal experience at work
- The high turnover rate at Accutest
- Dissatisfaction among employees

Problem With Current Training Methods

- Training time insufficient
- Lack of structure
- Insufficient safety training
- Trainers unsure of timeline
- Little/no feedback to managers
- Costly errors

Problem With Current Training Methods

Survey (Feb 2001)

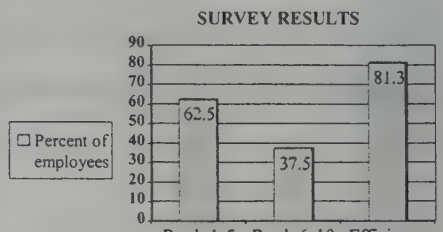
Sample questions:

How would you rank Accutest's (Gen Chem) training methods/program? (please circle)

(poor) 1 2 3 4 5 6 7 8 9 10 (excellent)

Do you feel that you would be more efficient if you received further training? Yes___ No___

Problem With Current Training Methods

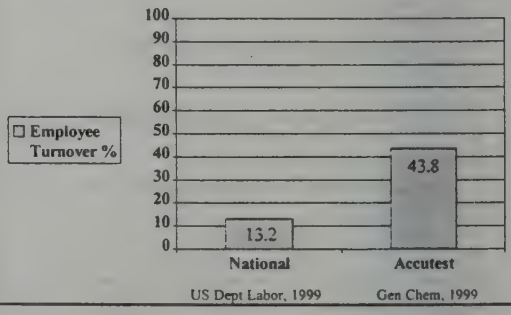


Problem With Current Training Methods

"Companies with the better training methods tend to have a lower turnover number overall. Your company is only as strong as your weakest employee therefore it is in your best interest to keep developing your team to ensure that you are ahead of the game"

Laura Michand, *Turning the Tables on Employee Turnover*

Problem With Current Training Methods



Success Stories of Other Companies

Dow Chemical, Edward Jones, Great Plains, Lenscrafters, Sears, Southwest Airlines and South African Breweries were compared to the United States' 500 benchmark companies:

Strategy: More hours spent on training
More payroll percentage on training

Results: Higher employee satisfaction
Lower turnover than industry average

(Helen Lippman, *Retention, Training, Recruitment, Personnel Policies and Job Satisfaction*, 2001)

My Plan for Accutest

Safety, training, practice and evaluation

- One day safety training by senior analyst
- Nine day training period including test runs
- Evaluations of trainer and trainee at the end of training period submitted to manager
- Approval made by manager
- Copies of evaluations filed

Budget

Salary for senior analyst to train one employee on safety for 8 hours	~$135
Salary for analyst to train one employee for 9 days/72 hours	+ ~$865
Salary for new employee training w/o benefit of production for 10 days/80hrs	+ ~$846
Salary for manager to evaluate forms for one employee (~1 hour)	+ ~ $24
Total cost per new employee	= **$1870**
HOWEVER, Accutest's average loss on turnover of one employee in 2000	~ $8,000

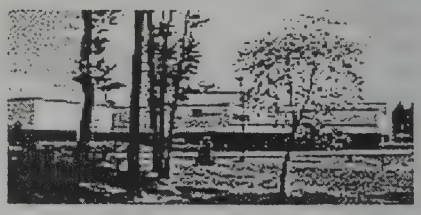
Potential Problems?

- Production slowed
- Turnover remains the same
- Better trained employees lured away by competitors

Summary

Problem	Solution
Training time insufficient	Establish two week training period
Lack of structure	See above
Insufficient safety training	One day devoted to safety training
Trainers unsure of timeline	Everyone informed of two week period
Little/no feedback to managers	System of evaluation forms
Costly errors	Pre-tested analysts

ACCUTEST.



Questions?

Oral Presentation Evaluation Form

Speaker _____ **Date** _____

Title / Topic _____

Start Time _____ **End Time** _____ **Your Initials** _____

Patron **1 2 3 4 5 6 7 8 9 10**
Did the speaker address the concerns of the *funding source*? Who are they and why would they be interested in this project?

Population **1 2 3 4 5 6 7 8 9 10**
Who will benefit most from the project? Who else might benefit? How well was the population defined?

Problem **1 2 3 4 5 6 7 8 9 10**
Does the speaker present convincing *evidence of a problem*? Has the speaker defined or *quantified it?* What is the most compelling evidence you saw?

Paradigm **1 2 3 4 5 6 7 8 9 10**
Does the speaker present a *researched rationale* that supports the specific plan of action? What is the paradigm, in your view? What type of research would help to justify the plan more fully?

Plan **1 2 3 4 5 6 7 8 9 10**
Does the speaker organize the plan in a *coherent and logical* way? Does the plan *follow from the paradigm* and provide a solution to the problem as it is defined? Could the plan be *visually represented*? How?

Price **1 2 3 4 5 6 7 8 9 10**
Has the speaker carefully *calculated the cost* of the project? Is anything left out that should be included?

Poise **1 2 3 4 5 6 7 8 9 10**
How well did the speaker maintain eye contact, enunciate, point to the visuals, and project confidence?

Pictures **1 2 3 4 5 6 7 8 9 10**
Were the visual aids useful and professional? Was there something more that should have been pictured?

Overall **1 2 3 4 5 6 7 8 9 10**
Please explain your overall impression, and continue onto the back of the page if necessary...

Graphic Aids Assignment

Visual aids are an important part of both your oral presentation and your final project. They can provoke an immediate response in your audience in a way that a paragraph of statistics may not. In preparation for your oral presentation, bring in at least three visual aids with stapled commentary.

These three visual graphic aids should be cut from newspapers or magazines, or printed out from online sources. They should be interesting examples of graphics. Please do not bring in pictures or photographs; it is much better that you find images that are **visual representations of statistical information**, as in charts, tables, graphs, and so on. Be prepared to discuss the examples that you chose, pointing out what they do well, how they conform to the standards discussed by our supplementary materials, or whatever else you observe about them. To help you develop good, informative, attractive visual aids, we will look at your examples and some others in a peer review and class presentation session.

If you are confused as to how to comment, you can refer to the five legitimate functions of a good visual found in *The Portable Business Writer*.

Be prepared to hand these in to your teacher during class.

Chapter Seven

The Project Proposal

The Assignment

The project proposal is the final draft of the project you have worked on all term. Like the presentation, it should be a leadership statement that puts information into action by proposing a research-justified solution to a well-defined problem. Unlike the presentation, though, it should take a specific form, which is laid out below and illustrated in some of the sample papers that follow. The guidelines for preparing this final paper will probably not conform to those of your work place or those spelled out for specific grant applications you might be considering. These guidelines, though, should be readily adaptable to any "real-world" submission. We encourage you to revise your final project for submission in your work place or in your future graduate work, but for the time being focus on fulfilling the requirements of our class.

Remember that the heart of the proposal is a problem, paradigm, and plan that work together to create a unified concept. The paradigm should grow organically out of the way you define the problem, and the plan you present should be clearly rationalized by the paradigm. If you unify and focus your argument, you will be able to present a well-organized and logical paper.

The final draft of the project proposal should be from 15-20 pages inclusive, single-spaced (though your Works Cited should be double spaced in keeping with MLA guidelines). You should also try to do the following:

- Strive for a consistent professional tone throughout.
- Number your pages clearly.
- Unify your paper as best you can using rhetorical, design and signposting strategies.
- Use clearly distinguished headings and subheads to help guide your reader through the parts of each section.
- Use bullets or numbers to list items for easy comprehension.
- Label and number all graphs and figures for easy reference.
- Unify the paper with a consistent typography and style.

- Polish your writing for style and emphasis.

- Proofread for errors in spelling, grammar, and syntax.

The Parts of the Proposal

The formal aspects of the final proposal help you to present your overall argument in a way that is useful for your reader. There are fourteen parts of the project proposal, most of which should be labeled and presented in order (with the exception of visual graphic aids, which should ideally be incorporated into the body of the paper with individual titles):

1. Cover Letter -- generally one full page (not numbered or titled)
2. Title Page -- one page (not numbered or titled)
3. Abstract -- one page (Roman numeral "i")
4. Table of Contents -- one page (Roman numeral "ii")
5. Table of Figures -- one page (Roman numeral "iii")
6. Executive Summary – one to two pages (Roman numerals "iv-v")
7. Introduction -- generally more than two pages (Arabic numeral "1+")
8. Research (or Literature Review)
9. Plan (or Procedures)
10. Budget
11. Discussion (perhaps including an Evaluation Plan)
12. Works Cited
13. Visual Aids (or Figures)—incorporated into the text when possible
14. Appendix (if necessary)

1. Cover Letter

Like the cover letter that accompanied your resume, the letter of transmittal is intended to explain and interpret the attached document. It should explain why the reader has received your proposal and it should try to persuade the reader to examine it closely, offering details about the content intended to interest or intrigue him or her. The letter of transmittal should respond to the situation of reading and answer the reader's likely questions: "Why is this on my desk?" and "Why should I read it when I have a dozen other things to do?"

The transmittal letter can take the form of a letter (for a reader outside of your organization) or memo (for a reader within your organization). While an increasing number of transmittals are written in e-mail form, where the proposal is usually an attached file, we ask that you adhere to the traditional paper forms for the purposes of the course.

If it is a letter, it should follow the full block style, in which all of the elements are flush with the left margin in this order:

- Return Address (your name and address)
- Date (for the purposes of the class, use the due date of the final proposal)
- Recipient's address (including name, title, organization, and business address)
- Salutation ("Dear" plus formal address and name)
- Body (see discussion below)
- Closing ("Sincerely") and signature

If you are using company stationery, then you will not need to include your address. If it is prepared as a memo, then it should be written on company stationery (or facsimile) and prepared in memo form:

- To: addressee's full name
- From: your full name and handwritten initials
- Date: today's date
- Subject: a line indicating your proposal topic
- Body: see discussion below

Many of the rules for writing the cover letter to accompany your resume obtain here. Since your imagined reader probably attended your presentation (or, at least, you created a context where he or she was imagined in the room), you may want to begin by reminding the reader of that event, explaining that this is the full version of that proposal. Whether or not you have met your reader before, begin by explaining why you sent him or her your proposal and why it should be of interest. Emphasize what you know about the reader's interests and emphasize the chief way the proposal matches those interests.

The central paragraph (or central two paragraphs) should offer an overview of the project, highlighting salient details about the problem, paradigm and plan. Again, point to those aspects of your project most likely to interest your reader.

The final paragraph should invite further contact, offering the most convenient way for the reader to get in touch with you (perhaps by phone or e-mail).

2. Title Page

The page should include the following information:

- Project title

- Submitted by: Your full name and title (or position)
- Submitted to: Your addressee's full name, title, and business address
- Date

You should also indicate somewhere near the bottom of the page what course this paper was prepared for, your instructor's name, and any class information your teacher requests. (This way if your paper gets lost it won't end up on the desk of the imagined audience but will have a chance of getting returned to your instructor).

The title of your project should be carefully chosen and crafted for maximum communication in the shortest space. It is one of the first things the reader sees of your report, and will become the means of referencing it to others. The more communicative power it has the more effective it will be. Strive for to be both clear and memorable. Remember that you can use a two-part title, especially if you want to give your project a catchy title followed by a more technically specific one.

There are many ways to design the title page, and you should do what looks and works best for your specific project. Use white space, color and other page elements to design an attractive image that is consistent with the document design as a whole. You might want to use graphics or pictorial lettering to highlight your topic.

3. Abstract

The abstract should be clearly labeled as an "Abstract" at the top of the page and should be no more than one or two paragraphs in length. The purpose of the abstract is to tell busy people (or their secretaries) how to file your report. It should be written from a disinterested perspective, providing a balanced view of the project idea as though written by an outside party. Usually it is written in the third person or uses passive voice to avoid naming the agent. For the purposes of this class, you should write a relatively long, informative abstract that includes details about your overall argument and covers elements of the problem, paradigm and plan (in that order). Be sure to indicate your rationale and what specific action you want to take. Strive to be maximally communicative within minimal space -- generally between 150 to 300 words.

4. Table of Contents

Clearly label and design your table of contents for easy use. Recognize that the table of contents has two main uses: it helps readers locate the information that interests them most (this is especially true of long reports) and it gives your reader an overview of the project and its parts. You should list all parts of the project listed above (excluding the transmittal letter and visual aids), along with any important subheads. Number the opening parts (abstract, table of contents, table of figures, and executive summary) with small Roman numerals (i, ii, iii) and then use Arabic numbers (1, 2, 3) beginning with the "introduction" section. Use whatever design elements you can to help make the information clear and usable -- indenting subheads, using ellipses to link section names

and page numbers, and aligning all related parts. The style and font should be consistent with the design throughout your document.

You can work up a table by carefully laying out the items in it, but many word processing programs will generate a table for you. In WordPerfect for Windows, for example, look under the Tools menu. In other programs, consult your manual or Help menus.

5. Table of Figures

If your table of contents is short, you might include your table of figures (clearly labeled) on the same page. Otherwise, it should occupy its own page. Ideally, each figure and illustration you use should have a number for easy reference. List the number and title of each figure along with the page on which it appears.

6. Executive Summary

The executive summary should be clearly labeled. This is usually the last thing you write, but it is often the first (and sometimes only) thing that your audience will read closely. It is a "miniature" or condensed version of the paper itself written for busy executives (hence the name). Basically, the executive summary presents your whole argument, *in the order of the paper itself*, with key details and evidence, all in only ten percent of the space of the whole paper (generally no more than two pages for a twenty page proposal). A reader should be able to understand your entire project (including problem, paradigm, and plan) after having only read these two pages. Generally, you should cite critical evidence and sources here, but you should not include illustrations. Unlike the abstract, which is intended for description only, the executive summary can contain persuasive language.

In writing some parts of the paper, you may feel that you are repeating yourself. You are, in a way. But you should recognize that while you may present the same information several times in different parts of the report, each part is intended, in a sense, for a different reader. This part is written for the busy executive. The body of the report is written for the (perhaps same) executive who has time for a closer examination of your ideas.

7. Introduction

There are two purposes of the introduction: to present information about the problem you will address and to forecast your overall argument. Here is where you will want to offer all the information you have on the problem you seek to address. You should try to quantify or define the problem and offer images that help clarify and emphasize the key aspects of it. Focus on those aspects of the problem that will most interest your reader, and suggest by the way you examine or define the problem a direction for approaching it. Close the introduction with a forecasting statement giving your reader a sense of your argument to follow and providing a transition to the next part.

8. Research (or Literature Review)

The research section should open with some reference to the problem (especially by way of transition from the introduction), but should focus mostly on the paradigm for your project. The research you present should explain why you will approach the problem in a particular way; it should also provide a unified rationale for the specific plan of action you describe in your plan. Thus the paradigm is essential for unifying your paper because it shows how the plan of action you will propose is a logical approach to the problem you have defined.

While each of you will have to explore research in a way unique to your topic, all of you should strive to show that you are not merely asserting your approach to the problem based on opinion, politics, or personal view, but that there is a consensus of opinion or a well-documented trend or development that supports your idea. You might discuss examples of similar or related projects you are using as models, focusing on the procedures and plans that worked in those instances and emphasizing the positive results achieved. You might discuss theories that form the basis for your assumption that the plan you have in mind will be effective -- offering evidence and authority to show that your plan is responding to a body of knowledge. If you are planning experimental work that grows out of a well-established scientific paradigm, you should review the tradition of work in the field that you are building on in your research. Remember that the main purpose of the research is to justify your plan of action. Thus, if you plan to educate people about a specific environmental issue, you will likely want to focus more on an effective way (or paradigm) of educating people than you will on that environmental issue (though you will need research on that as well).

One of the purposes of the literature review is to establish your authority, which will stand or fall based on the quality of the research you cite. By demonstrating your command over recognized or paradigmatic research, you show that you have the knowledge and expertise to make valid recommendations. You should strive to find the most useful and authoritative research whenever possible, and you should discuss published research (ideally, research that has been subject to peer review). Many projects will, however, call for a wide range of research sources, including articles, books, internet sources, published government statistics, interviews, surveys, field studies, calculations, and experimental results. You should do your best to evaluate sources and use only the most solid in building your literature review. To use low quality materials in constructing your paper is equivalent to using low quality materials in building a house, and your product will be evaluated and graded (or condemned) accordingly.

9. Plan (or Procedures)

The plan should be as specific as possible and should follow logically from your research. How it is presented will depend upon the specific project you have in mind. If you are proposing a workplace project, you might focus on how your idea will be implemented (perhaps providing a flowchart or time line). If you are proposing to do an experiment, you should lay out the specific procedures you will use. If you are building

something, you will want to describe how it will be built and provide diagrams. You might wish to reference research to support the specific choices you are making, though the research section should provide the bulk of your rationale.

10. Budget

The budget should list everything you will need for your project, from salaries to supplies. Some items may require explanation, which you should supply here as well. Arrange the cost of your budget items in aligned accountant's columns to make your addition clear.

11. Discussion (or Evaluation Plan)

Generally your paper should conclude by summing up your project and making a final pitch for its value. If you are proposing a project whose results can be tested in some way, then you should also offer an evaluation plan.

12. Works Cited

This section should list all sources of information cited in your paper in alphabetical order. The bibliography should be prepared according to MLA Style, which is covered in the supplementary text for this class and in the MLA Style Guide in Chapter Four. For those who want extra guidance, you might consult The MLA Handbook, which is available in the Reference section of any campus library.

13. Visual Aids (or Figures)

You should have at least three graphic aids that are visual representations of numerical information. These might include graphs, tables, charts, or maps. In addition to these three, you may include drawings, photographs, flowcharts, maps, organization charts, Gantt charts, timelines, diagrams, or floor plans. Each visual graphic aid should be numbered (e.g.: Figure 1, Figure 2, etc.) and should have a title. If the graphic is based on information from a source, then you should have a citation line at the bottom (i.e.: Source: Alvarez 26). If you are able to incorporate your graphics into the body of the paper, do so. If you cannot incorporate your graphics, then include them at the end in an appendix or inter-paginate them directly following the first reference to them.

14. Appendix (optional)

If you have other information that doesn't exactly fit into your text, you could include it as an appendix (which is literally appended to the end of your document). For example, if you cite a map or chart which is too big to be incorporated into the body of your text, you could label it as Appendix A. Be sure to list it under Appendices on your table of contents, and refer to it in the text as follows: [See Appendix A, p. 20].

Procedures Manual Assignment

For many technical writers, writing good directions to other people on how to do something is an integral part of their job. Researchers must document their research procedures, industrial technical writers must often write the instruction manual that accompanies a new product. As with all technical writing, an awareness of your reading audience is crucial to writing a good procedures manual.

As you work toward your final project, think about the Plan section. Many people at this point have a good general idea of what they want to do, but have not considered the specific details involved in carrying it out successfully. Taking some time now to think about the details, amounts, and materials will help you have a clearer idea of the project as a whole. Without attention to the details, you won't be able to generate an accurate budget.

First, consider who will be doing the project or the research. How much do they know? How much do they need to know? Are they professionals or volunteers? How specific will you have to be? Then, consider your funding source. How much do they know, or need to know? What level of specificity would be appropriate in explaining your project to them?

You have two choices in this assignment.

1. You could write a set of directions to the people who will be helping you carry out the project. For instance, if you are starting a soup kitchen, you might write up a set of directions as to how you will serve the people who come to eat. Will you have a buffet style or a sit-down service? Will you allow seconds? What should a worker do if a soup kitchen guest wants to use the phone or needs a ride? You could incorporate this assignment into your final project as an appendix.

2. You could generate a list of procedures in order to demonstrate to the funding source how the project will be carried out. This differs from #1 because it is less detailed and broader in perspective. The stages you might write about setting up a soup kitchen might be to find an adequate space, to make arrangements with the USDA for free food donations, to train workers, and to advertise the opening day. You could expand this assignment and make it your Plan or Procedures section of the final project.

The most important thing to do in writing instructions is to figure out the logical sequence of events. What must come first, what logically comes second, and so on?

Using either #1 or #2, write up a brief one-two page procedures manual. Explain each step as thoroughly as possible.

Peer Revision Day for Final Project Proposal

Use the following steps to guide you in commenting on a peer's paper.

1. The first thing you should do is to check and see that your partner has every required section IN THE RIGHT ORDER. Each section should start on a new page (the only exception would be if the writer wanted to combine the Table of Figures and the Table of Contents on one page).

2. Check to see that each section contains what it is supposed to contain. This is the most crucial issue to look for on Rough Draft #1. Invariably, people have too much plan in the Introduction or too much problem in the Research.

3. Check the format throughout. Check simple things like the pagination and the appearance of the title page. Is the funding source listed as the organization to which the project is being submitted? Is there a date of submission? Is everything capitalized uniformly? What could be done to improve the aesthetic impression of the title page?

4. Critique your partner's letter of transmittal. [Remember, your letter should be paper clipped to the actual project—it should not be stapled or bound in.] Does it include some reasoning as to why the particular funding source will be interested in the project? Does it ever so briefly outline the main themes of the project—problem, paradigm, plan? Does it follow standard business letter format? Is the letter signed?

5. Starting with the Abstract, look over the whole project to see that all section subheadings are uniform. If one is centered at the top of the page, they all should be. If one is in bold, they all should be. The same font should be used for each section heading. Ask these questions about the abstract itself: Is it dispassionate? Is it just an objective summary of the contents of the project? Does it contain some reference to the main thrust of each section of the project? Yes, you will be repeating yourself, but that's okay.

6. Do you like the looks of the Tables of Contents and Figures? Why or why not? What could be done? Are titled subheadings within the sections given along with page numbers for easy reference?

7. Look over the Executive Summary. Is the writer keeping the needs and objectives of the funding source in mind as he or she summarizes the project?

8. Check to see if the writer is citing all information that needs to be citing, and that he or she is using the proper format. Use your citation style guides to help you here.

After-School Arts Program Proposal

I admire this proposal because it demonstrates that it is possible to make a case for arts instruction even at this time of fiscal crisis. The writer uses both a model program and a theory of how after school programs help reduce youth crime to argue that her program will help strengthen the community. The Plan section might have been improved and the overall argument made more coherent. But the presentation is very good and the research strong.

[Return address withheld]

April 29, 2003

Ms. Paula Van Pelt
New Jersey State Council on the Arts
225 W State Street 4th Fl
Trenton, NJ 08625-306

Re: After-School Arts Program Proposal

Dear Ms. Pelt:

Thank you for coming to my presentation on April 14, where I discussed my arts program proposal. Please review my full proposal, "Transforming At-Risk Youth into Positive Risk Takers," which details the plan I discussed.

The need for a visual arts program such as the one described in my report is necessary for Perth Amboy Housing Authority's Neighborhood Center. As my research shows, community programs are one of the most important factors for controlling youth crime. According to the New Jersey State Uniform Crime Report, there were 3,153 juvenile arrests in Middlesex County in 2001. Of those arrests, 507 were larceny/theft related, 372 were drug related, and 359 were for assault. And in Perth Amboy, 12% of the 1,569 *reported* crimes were committed by juveniles. What is disturbing about these statistics is that approximately one third of these crimes were committed between the hours of 2 and 8 p.m., when children are under the least amount of adult supervision. A youth program could remedy that.

My proposal illustrates the steps to create an after-school arts program where teens can learn self-expression, leadership skills, and pride in their work. The goal of this project is to make a stronger community through the arts. Every aspect of this program will be aimed at instilling pride for oneself and the community we live in and taking responsibility for ensuring that our neighborhood is a safe and healthy environment for all.

If you have any questions or comments regarding the proposal or my presentation, please call me at 732-555-5555. Thank you for your time and consideration.

Sincerely,
Arlene Perez

Transforming At-Risk Youth into Positive Risk Takers!

A Community-Based Art Education Program

Submitted to: Paula Van Pelt
New Jersey State Council on the Arts
FY04 Applications
225 W State Street 4th Fl
P.O. Box 306
Trenton, NJ 08625-306

Submitted by: Arlene Perez

April 9, 2003

Abstract

This proposal discusses the need for an after-school arts program within Perth Amboy Housing Authority's Neighborhood Center. The argument is that lack of adult supervision for children and teens lead to menacing and potentially dangerous behavior. This negative behavior begins as disinterest in school and can lead to substance abuse and criminal activity. According to the report, children with problem behaviors can be helped effectively through art education programs because they have the potential to take risks with the art they create. The ability to build something becomes a challenge that awakens their cognitive competence, and increases self-esteem. The art education program would be a community involvement program where children would work to beautify the neighborhood. Its main goals would be to instill pride, teach leadership, and promote cultural understanding. An organization that nurtures a child and simultaneously gives them room to grow will become more confident, resilient and tolerant. At the same time, the program would allow individual freedom of expression through the arts.

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Executive Summary

Recent educational budget cuts have threatened the existence of visual, theatre and music arts programs within our schools. These curriculum cuts impede a child's ability to build self-esteem, social, and intellectual skills necessary to become a well-rounded individual.

Although high school dropout rates and juvenile crime have been dropping steadily throughout New Jersey since 1999, the numbers are still too high to ignore. Dual income families are the norm as the cost of living keeps rising, and because parents are just "making ends meet," they have no other choice but to leave their children home alone to care for themselves. This is the most dangerous time for a child because there is little/no adult supervision--The streets become their surrogate parent and it is here they learn the skills necessary to survive the streets.

Research shows problems facing inner city youth are much more extensive than those in any other area. Drug use is rampant; violence is a fact of life. Low income neighborhoods are full of crime where kids learn to "hustle" by the age of three and can identify drugs by every conceivable street name. With poverty and education levels so low, neighborhoods like those found in the Perth Amboy Housing Authority seem like a hopeless place to live.

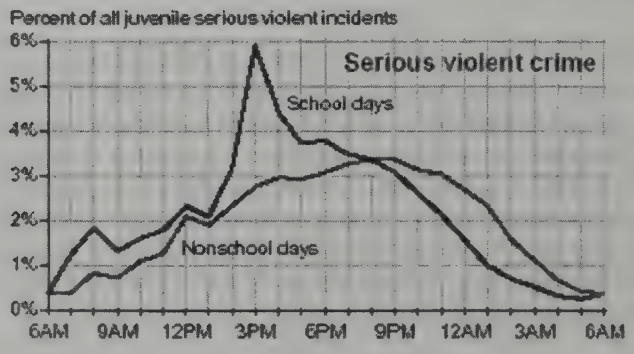
The plan I have developed would create an after-school program aimed at art education-specifically visual arts-in the neighborhood center. My reason for focusing on art-education as opposed to traditional "school based" learning is because here a child can tap into their imaginations—something they can not completely develop because they are forced to grow up so quickly. An art-education will give kids an opportunity to realize their potential by developing cognitive thinking. Cognitive thinking is the main goal of the program because by developing this type of thought they can excel in scholastics and as individuals. This program would also help increase the quality of life for the community by giving children an alternative to crime, drugs, and a hopeless tomorrow.

The budget for my proposal is estimated at $101,696.37 for the first year. This budget would allow the center to hire two part-time art teachers, and one part-time group counselor. The remainder of the budget would go toward art supplies, field trips, and advertising. The following year's budget would be less because there is no need to purchase supplies like dark room equipment or pottery wheels, the money would go to obtaining any reduced supplies such as paper, paint, etc.

Introduction

A study conducted in 1999 by the National Center for Juvenile Justice found 57% of all violent crimes are committed during school days, a concentrated 19% of crimes occur between the hours of 3 and 7 pm. The comparison, in Figure 1, between violent crime rates per hour during school and non-school days, illustrates a large peak at the 3 o'clock hour. This peak indicates a surge in violent crimes during the immediate after-school hours. Statistics like those found in the 2001 New Jersey's Department of Law and Public Safety's Uniform Crime Report support the 1999 findings. The Uniform Crime Report revealed that of 1,569 crimes committed in Perth Amboy, juveniles committed 12% of those crimes--almost one third of those crimes were committed between the hours of 3 and 8 p.m. ("Uniform Crime Report"). These hours, the time between kids leave school and parents come home from work, are called "latch key hours." Latch key hours are the most dangerous hours for children because they have minimal to no adult supervision. It is this lack of adult supervision that gets kids into trouble.

Figure 1



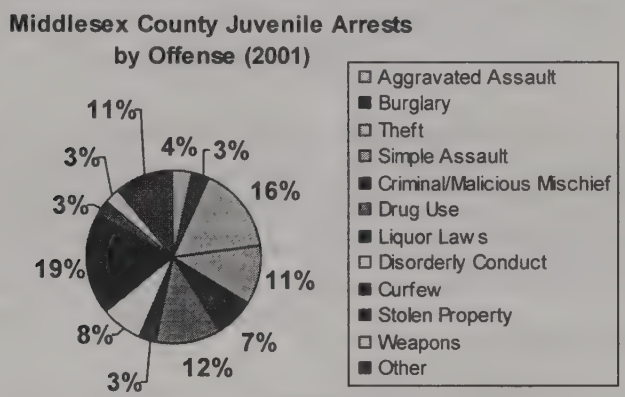
Source: Juvenile Offenders and Victims: 1999 National Report

Janet Reno and Richard Riley's Report, *Safe and Smart: Making After-School Hours Work for Kids,* state children who aren't supervised during after-school hours are far more likely to engage in substance abuse, high-risk behaviors, receive poor grades, and drop out of school than those children who participate in activities supervised by responsible adults. Figure 2 is a breakdown of juvenile high-risk behaviors that resulted in arrests as per New Jersey's Uniform Crime Report.

In 2001, Middlesex County saw 3,153 juvenile arrests of which 507 were larceny/theft related, 372 were drug related, and 359 were for assault. The problem is larceny, theft, assault and drug arrests accounted for less than *half* of all juvenile arrests for Middlesex County while the greater 61% ranged from severe (rape) to mild (curfew) offenses. These statistics confirm that issues of high-risk behavior are not cut and dry.

An unsupervised child has no guidance to deter him from making poor choices, while one with adequate supervision is less inclined to engage in harmful behavior.

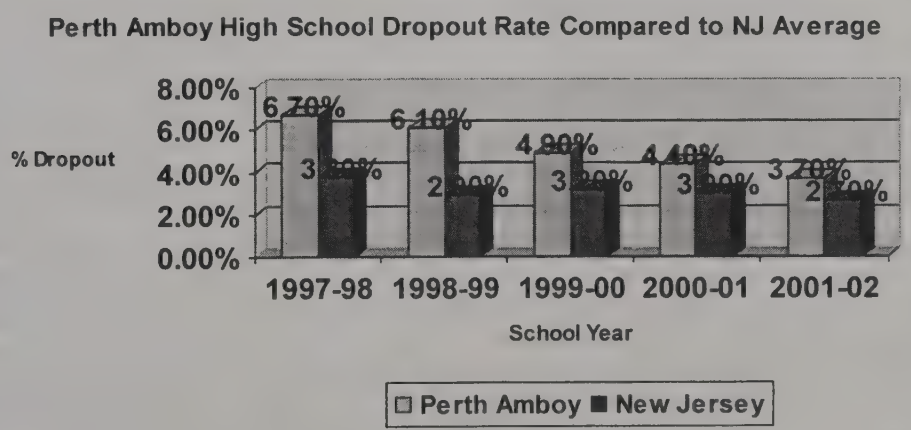
Figure 2



Source: New Jersey State Uniform Crime Report
Note: May not equal 100 percent because of rounded numbers

Reno and Riley argue an unsupervised child is more likely to receive poor grades and drop out of school. According to the New Jersey Department of Education, Perth Amboy's drop out rate in 2000-01 was almost one and a half times the state average (4.4% versus 3.0%). In a town with 1,894 students enrolled in grades 9-12, approximately 83 students withdrew from school that year (http://www.state.nj.us/education). It must be pointed out that Perth Amboy High Schools dropout rate *has* been on a downward trend for the past five years (Figure 3). However, the percentage of students withdrawing from Perth Amboy continues to surpass the state average by about 1 ½ percent.

Figure 3



Source: New Jersey Department of Education

In order to curb crime and dropout rates in Perth Amboy, adequate after-school programs must be created. Although there are numerous youth based programs running through the school system and church organizations, an effort must be made to bring these programs to the lowest-income neighborhoods in the city. Programs for at-risk kids are important because an after-school homework group will not attract those who are truant or committing crimes.

Literature Review

After-school community art programs have been known for bringing about dramatic differences in children. Art education can help children in every aspect of their lives that in turn creates a well-adjusted individual. Art programs are excellent preventative programs, resiliency builders, attract at-risk youth and promote cultural understanding and tolerance.

Preventative Programs

Numerous community art programs have been established throughout the country, in urban neighborhoods, for the purpose of establishing prevention programs. Learning Systems Group found preventative programs serve as a means of reducing the occurrence of harmful behaviors like substance abuse and violence among youth, and reducing the possibilities of these behaviors from occurring at a later time (7). In order to achieve this goal, the program creates projects that keep kids engaged. Performances and mural paintings are examples that develop self-discipline and team work. Because these projects require a child to commit their time, desire to use drugs or carry out crimes is lessened. When all is said and done, the child gains an appreciation for the work done and a self-esteem boost because they see the project could not have been completed if not through a collaborative effort.

One important factor of preventative programs is their ability to keep kids from dropping out of school during the crucial high school years when school is no longer mandatory. A five-year study of three hundred ninety-two students conducted by Joseph Mahoney and Robert Carnes revealed that 27 percent of the kids who dropped out during their high school years were not involved in extracurricular arts programs as opposed to 7 percent that were (241). Further evidence of the preventative capacities of art programs can be seen in a similar study performed by Shirley Brice Heath. This study observed one hundred forty-three at-risk students during 11 years. Of those one hundred forty-three students, 83 percent were involved in after-school arts programs. Those involved in arts programs were twice more likely to win academic achievement awards and three times more likely to receive school attendance awards; all 83 percent showed interest in attending college after high school. Reasons why at-risk youth who participate in extracurricular art programs do better in school than those who choose no program affiliation will be discussed further. It must be noted, however, preventative capacities can also be seen for many other extracurricular programs such as athletics and community service. Bottom line: The more active and involved the student is, the better they will do in the classroom.

Building Resiliency

In order to build resiliency you must have certain protective factors in place. The protective factors, according to the Learning Systems Group, mediate the effects of risk factors and increase the likelihood that kids will not practice harmful behavior (9). Three important factors are: building caring relationships, creating high expectations, and cognitive competence.

Caring Relationships

Building caring relationships with program staff and community members builds resiliency by developing mutual appreciation for one another. The adult is no longer seen as just an authority figure but as a mentor, a friend they can talk with and confide in. Werner and Smith believe the presence of caring, supportive relationship is the most powerful "protective" factor of resilient youth (67).

High Expectations

Creating high expectations requires a child to take responsibility for their actions. *Champions of Change: The Impact of the Arts on Learning,* highlights some of these expectations as accountability, teamwork, responsibility and the ability to follow through are some (Fiske 24). Acknowledgment or issuance of responsibilities (ex. project leader or mentor) is an excellent means of rewarding those who have met and exceeded those expectations.

Cognitive Competence

Cognitive competence is the ability to see things abstractly, in ways that may seem generally unorthodox. Teaching someone to pay careful attention to a line and shape and understanding how each of them compliments, affects, enhances the finished product is what Maxine Green in *Art and Imagination*, says will allow for deeper awareness of works such as poetry, art, theatre (3). Eventually this skill will lead itself to more profound awareness in relation to reading and writing because a deeper understanding of the word is necessary.

Attracting At-Risk Youth

Art programs are magnets for at-risk youth because they do not see themselves as 'at-risk,' but rather risk takers who can make artistic and life decisions. (Fisk, Intro 11). Instead of taking chances with their lives that may lead to dangerous outcomes, children are able to make risky choices in a creative way. This change in positive chance taking eventually leads to taking constructive risks with their own lives. Their likelihood of abusing drugs and other negative behavior lessens.

Another reason why art programs work is if the child's opinion of the program is positive. If a child judges the program as being effective, the probability of them participating in it is greatly increased (21). At-risk children are likelier to attend programs that are focused on athletics, community service centered, or arts based because of their favorable opinions. These programs serve to engage the attention of the individual in pleasurable activities while indirectly serving their psychological needs.

Promoting Cultural Understanding and Tolerance

Cultural understanding and tolerance are at the root of art education programs. It gives children insight into diverse cultures, religions and backgrounds. Learning Systems Group says

> students gain respect for others when they learn and explore the history, music, art and traditions of different cultures (14). Art programs serve to reduce a child's cultural ignorance and allow them the ability to appreciate other cultures. Cultural understanding increases self-esteem because kids learn to accept not only another's individuality but, most importantly, their own. This understanding gives children courage to develop and embrace their individualism instead of trying to suppress what makes them unique.

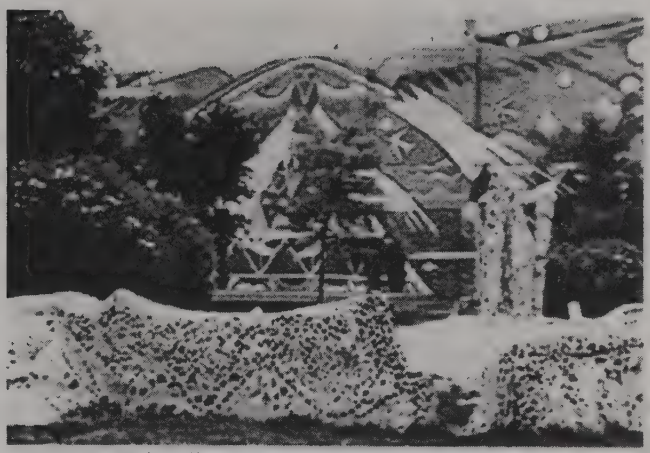
A Look at Two Community Arts Programs

The structure of the following two community programs are perfect examples of the previously discussed paradigm at work. A closer look at Philadelphia's Village of Arts and Humanities and Seattle's Arts Corps will clarify the functions of the above concepts.

The Village of Arts and Humanities

Founded in 1986, The Village is a community-based arts, education and neighborhood development organization located in North Philadelphia. Along with residents and community leaders, The Village works to reclaim abandoned space through numerous arts programs in an effort to instill a sense of hope and possibility throughout the neighborhood. Abandoned lots are turned into permanent outdoor exhibits where murals, sculptures, flowers and crafts take center stage.

Art is the centerpiece to all community based activities and improvements. The Village has developed a multi-faceted, hands-on educational program to engage and nurture youth, increase their connections to positive peer and adult role models, and to build their skills confidence, and sense of their own growing potential. The success of The Village has allowed over 2,500 students to participate in their Learning through the Arts Program (www.villagearts.org).



The Village Sculpture Park, N Philadelphia
Source: www.villagearts.org

The Village also offers employment and training programs, health and nutrition classes, workshops, outreach, sponsor festivals and exhibitions and publishes a children's newsletter. Every aspect of the organization is aimed at community involvement and improvement.

Arts Corps

Seattle based Arts Corps was founded in 2001 in response to educational budget cuts which targeted the arts. The organization's mission is to provide all young people access to excellent arts education opportunities. In order to achieve this, Arts Corps has adopted five goals:

1. Always be about the kids
2. Great teachers only
3. No one gets turned away
4. Go where the kids are
5. Do what no one else does now

With the motto "No one ever bored a child into achievement," Arts Corp's programs are fun and educational. Course offerings consist of sculpture classes, digital photography, art history, hip-hop music writing, video production, sketching and painting, creative writing/poetry as well as theatre arts and dance. Every program is focuses on individualism, culture, self-expression and application of the arts toward standardized education.

Arts Corps works in conjunction with other community organizations like the YMCA, Boys and Girls Clubs, public and private schools, and faith based organizations. However, all programs are open to all children regardless of socioeconomic background or religion. Last year, Arts Corps provided 72 art education classes to more than 750 students (www.artscorps.org)

Arts Corps Students in a visual arts class
Source: www.artscorps.org

Having outlined the key elements of a successful after school arts program, the following Plan will describe step by step strategy for implementation.

Plan

Because of the neighborhood center's location, only youth from the Perth Amboy Housing Authority use the facility on a regular basis. Therefore, the program is aimed toward their interests and needs. The outline for completion of the visual arts program is broken down into three parts: Pre-Development Stage, Design and Follow-up. The three parts will be discussed in further detail.

Pre-Development Stage

The pre-development stage is the planning, recruiting and formulation of the arts program. Here is where the structure of the Center will be created with respect to job description, curriculum design and mission/goals development.

1. Planning Meeting:

A planning meeting will be scheduled with the Director, key staff and administrators of the Neighborhood Center to address the basic fundamentals of the program.

- Formulate program mission with the following goals in mind:
  - Establish preventative program that will reduce/prevent high-risk behavior
  - Program will foster resiliency by building caring relationships, creating high expectations by assigning responsibility and developing cognitive competence
  - Attract at-risk youth by offering programs that promote creativity, engage children's attention, are fun, Yet, hold them accountable
  - Promote cultural understanding and tolerance
- Discuss program requirements
- Appoint administration to oversee plan performance

- Assign Director, administrators to assist art program faculty
- Establish program timeline for completion
- Create staff recruitment campaign
- Develop advertising campaign
  - Newspapers/Newsletters (Home News & Tribune, Amboy Beacon, Neighborhood Center News)
  - Fliers
- Schedule follow-up meetings on a monthly basis to evaluate progress/concerns/issues

2. Staff Recruitment:

Staff will serve as key personnel for the art program. The outreach counselor will serve as support staff to teachers and supplement the counseling services offered by the center. Artists will have their field of expertise in visual arts (ex. Photography, painting, sculpture).

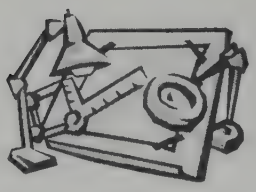
- Two part-time certified teaching artists
- One part-time outreach counselor
- Volunteers/interns (volunteers will be comprised of neighbors, parents, community members, interns will be college students majoring in visual arts, education or social work. They will serve as support staff and mentors.)

3. Arts Program Meeting:

This meeting will serve to outline the visual arts curriculum with clear objectives. It will also outline each staff member's duties and responsibilities.

- Outline staff responsibilities within the visual arts program and the center
- Create staff schedules with rotating shifts and alternating weekends
- Form program curriculum; decide which classes will be offered and when (this is directly connected to the scope of the staff's experience. However, the program will consist of group art projects, individual projects like painting, photography, drawing, etc. Also, will classes be offered daily, weekly, only on weekends?)
- Establish mentoring guidelines
  - Who should/could mentor? (GPA requirements, experience, what is their relationship to the community--parent, community leader, student, neighbor?)
  - What are their expectations? (amount of hours expected to dedicate, type of responsibility)
- Report to Program Director(s) on a weekly basis for updates

Design



The design stage is the execution and approach of the program. In this part of the plan, activities and programs will be created with respect to the goals. Advertising campaign will be launched and the transition from homework help to a more well-rounded community program will begin.

1. Program/Curriculum:

As stated earlier, programs will be formulated according to the expertise of the faculty. With that in mind, the following is a model of a curriculum that may be adopted by the staff. This model is a combination of the curriculums from The Village and Arts Corps.

- Core Programs
  - Divided into two age groups: 6-12, 13-18
  - Requires commitment from students for a specific period of time
  - Programs will be of durations from four weeks to indefinitely
- Open workshops
  - Less structured program, no commitment by student
  - One day/weekend workshops open to those on a walk in basis
  - Open to all age levels, community members, and residents

2. Types of courses/workshops to be offered:

The following is an example of the types of programs that can be offered--given the experience of the staff members--and whether they are intended to be core programs or open workshops.

- Core Programs
  - Mural program (Can also be an open workshop for those who can not commit blocks of time.)
  - Photography
    - Digital Photography
    - Black and White
    - Developing/printing film
  - Carpentry/Construction
- Open Workshops
  - Fundamentals of painting
  - Quilting
  - Creative Writing

- Cooking
  - Pastries
  - Entrees
  - Healthy after-school snacks
- Ceramics/Pottery—open workshop
- Cultural Arts—open workshop
  - Study/discussion of art from different countries

- Class Trips
  - Newark Museum
  - American Museum of Natural History
  - New Brunswick's State Theatre
  - Crossroads Theatre
  - Crayola Factory
  - PNC Arts Center
  - Zimmerli Art Museum
  - Geology Museum

Advertising Campaign:

As previously stated, the advertising campaign will entail newspaper, newsletter notice as well as fliers. Another way to advertise is to display artwork created by the children of the Neighborhood Center in various venues.

- Request display space for art in:
  - City Hall's display case
  - Public schools
  - Churches
  - City Businesses
  - Hospital
- Invite Newspaper, local news channels to program events
- Print fliers to distribute to residents, local businesses
- Word of mouth

3. Hours of Operation:

The current hours of operation are 9 am-6pm Monday to Friday. During "school hours" the center is open for outreach and adult training programs like ESL, computer basics, and GED.

- Extend hours of operation
  - Monday to Friday 9 am-8:30 pm
  - Saturday and Sunday 10 am-4:30 pm

Follow-Up

The follow-up stage is where directors and administrators evaluate the overall effectiveness of the program. It takes place after the program has been in operation for approximately one month.

Meeting:

This meeting between the entire Neighborhood Center staff and administrators serves to evaluate the progress of the program as well as issues and concerns.

- Evaluate program mission and goals
- Assess plan performance
- Review program curriculum, mentoring program
- Establish regular meetings to discuss program performance

The preceding is an outline of the proposed program. The following page will discuss the proposed budget for such a project.

Budget

The following budget is an estimate for establishing the arts program. The totals represent setup/supply costs for first year of operation.

Staff:

Part-time certified art teacher	2 @ $30,500*	$61,000.00
Part-time outreach counselor	1 @ $22,100*	$22,100.00
Total Staff		$83,100.00

Advertising:

Home News and Tribune	3 days @ $154.99	$ 464.97
Amboy Beacon	4 weeks @ $23.50	$ 94.00
Fliers	250 @ $.15	$ 37.50
Total Advertising		$ 596.37

Program Supplies:

Artists pencils, chalk, markers, crayons	$ 400.00
Easels, displays	$ 700.00
Paint: finger, water, acrylic, mural	$ 1,000.00
Paper: writing, paint, drawing, construction	$ 500.00
Photography: cameras, darkroom	$ 7,000.00
Ceramics: pottery wheels, clay, accessories	$ 6,000.00
Misc. Supplies: pens, scissors, tape, glue	$ 400.00
Total Supplies	$16,000.00

Trips:

Museums, shows, events	$ 2,000.00
Total Trips	$ 2,000.00

Grand Total **$101,696.37**

*Median salary for occupation as per New Jersey Department of Labor

Discussion

On paper it may seem expensive to expand the Neighborhood Center's programs to include art education. The fact is, the benefits a community receives, as a whole, is immeasurable. This type of program will serve to expand a child's imagination in ways never conceived and will help develop their critical thinking skills.

Art education is an effective learning practice. More and more community organizations are beginning to understand just how beneficial this type of program is to the children, and the community itself. Groups like The Village are taking back their neighborhoods and creating a lasting sense of hope every time another mural or garden goes up. And every time another garden grows from the abandoned lots, another child will understand and feel a sense of community.

The Housing Authority needs a program like The Village or Arts Corps. Kids need a place they can feel safe in, learn something they would never have realized, or just be kids. Each child in this neighborhood has the potential for greatness. However, they may never reach that potential because there are so many negative forces pulling at them. This after-school program would give them a *taste* of what this great big world has to offer…something more than what has been handed to them.

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OnLine Banking Proposal

This memorandum tells how a bank can maintain its commitment to customer service while still moving to the highest technological level. There are certainly flaws with the proposal, not least of which is the rather sketchy plan.

To: Mr. David Applebaum, Beneficial Bank President

From: Huy Van Nguyen, Bank Technology Manager/Developer

Date: April 26, 2001

Subject: **Online Banking Proposal**

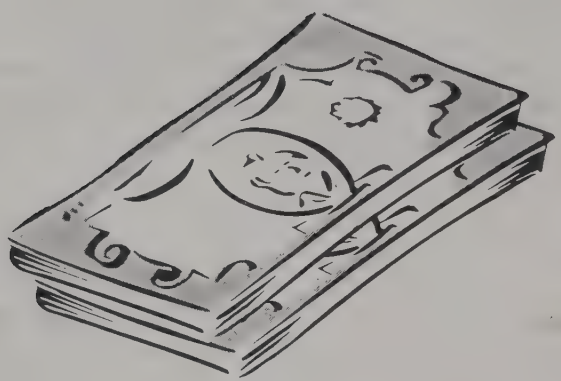
I would like to thank you again for taking time out of your busy schedule to attend my recent project presentation. I hope you found it informative. Enclosed you will find a copy of my proposal, "Beyond Traditional Banking for Beneficial." The report discusses Beneficial's need to construct, implement, and provide Internet banking for its customers in order to remain a competitive leader in the banking market.

Nearly 65% of all banks in the United States offer some form of online banking for its customers. Among some of the major national banks with successful and comprehensive online banking systems are Wells Fargo (www.wellsfargo.com), First Union (www.firstunion.com), and Citibank (www.citibank.com). However, financial institutions similar in size to Beneficial have also initiated successful Internet bank programs, the most notable being Digital Insight, Edify, and Stillwater National Bank of Oklahoma. Thus, it is critical that we too consider and eventually develop our own system.

My proposal includes a step-by-step guide about what needs to be considered in developing an Internet system and what procedures are required to make the system successful. The plan I have designed is both time and cost efficient. More importantly, it also incorporates features that are customer-based to ensure "friendly, professional service" and improve customer relationship. The resultant online system will allow Beneficial to continue to declare that we "have the resources and expertise to help its customers achieve their goals and realize their dreams."

Contact me if you have any questions or comments upon review of the proposal. The best way to get in touch with me is by stopping by my office or by email huyvann@hotmail.com. Thank you for your valuable time, and I hope to discuss the project with you in further detail.

Beyond Traditional Banking for Beneficial



Submitted to: David Applebaum,
Beneficial Bank President
PO Box 88000
Baltimore, MD 21288

Submitted by: Huy Van Nguyen, Bank Technology Manager/Developer

April 5, 2001

Abstract

This proposal introduces an aspect of banking that is missing in Beneficial Bank- an online banking system. It highlights the fact that a majority of U.S. banks offer Web banking and that Beneficial's lack of one introduces serious disadvantages, not only to the financial institution itself, but to its customers as well. It then reports the gains that an online banking system would render, including increased profits, enlarged customer base, and improved customer relations. It also reviews some the most successful online banking systems, pointing out basic features of any Web banking system, such as customer login/password verification, viewing account activity, transferring funds, and paying bills. It then outlines the procedures to implement an Internet system customized to Beneficial's specific needs, utilizing the services of Electronic Data Systems (EDS) for the computer network and Digital Planet for the website development. Finally, a detailed budget is presented, highlighting the first year startup cost, successive annual cost, and a comparison of the proposed budget to Beneficial's funds to show the project's affordability.

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Executive Summary

The rate at which the Internet has grown within the last decade is incredible. With millions of websites, it has become one of the most fundamental arenas for communication and the exchange of information, goods, and services.

With the widespread popularity of the Internet, Beneficial's lack of an online banking system introduces serious disadvantages to not only our financial institution, but more importantly, to our customers. Not having an Internet banking system means no expansion in an otherwise profitable market. Also, Beneficial could face the potential loss of existing customers who wish for such speed and convenience. Considering the fact that nearly 65% of all banks in the United States currently offer some form of online banking for its customers, it is essential that Beneficial develop its own Internet banking system in order to continue its reputation as a leader in banking excellence.

Research has shown that substantial growth in Internet commerce is inevitable and that consumers' demand for this electronic mode of business is too significant to ignore. This drastic demand signifies that firms of all sizes must become proactive in not only seeking out Internet opportunities, but in determining ways to exploit this revenue-producing medium as well. Within the scope of banking industry, many small and large financial institutions that have implemented an online banking program have consistently turned a profit. Thus, the prevalent success of other online banking endeavors is a strong indication that our own establishment will be lucrative as well.

The plan that I have customized for Beneficial encompasses a time and cost efficient objective, and it will ensure that Beneficial will maintain the same "friendly, professional service" that has become synonymous with our name. With any Internet-based system, a computer network must be constructed to link our databases to a central server. For our purposes, we will set up a special network called a storage area network (SAN). However, as an established bank, Beneficial already has the basic infrastructure in place, so the primary work is the implementation of different kinds of software required for SAN's and fiscal transactions. To do so, we will employ the network solutions company EDS, which specializes in providing SAN services, to startup and manage both the network and system. Next, we will employ the service of Digital Planet to design a website that features a simple, user-friendly layout for customer access, which will be accessible via a link on our existing homepage. Upon completion of the system, we will contact both our present and potential customers about the new feature through an information distribution campaign involving our physical branches and other modes such as email.

The budget for my project is estimated to be $955,058.88 for the first year, which includes the physical network connections, software applications, web development, employee training, and information campaigns. Successive years require only maintenance and incur a lower cost of $630,000. Relative to our annual total assets of $3 billion, the cost is a very small percentage- approximately 0.0318% of our total assets.

Moreover, the cost of an Internet transaction is about $0.03, as compared to $.27 for ATM, $0.54 for phone, and $1.07 for physical branch transactions. Thus, the savings and opportunities that online banking introduces undeniably outweigh all the costs. I hope you feel as I do that this new extension will be a valuable investment that secures the future success of Beneficial and its customers.

Introduction

Our company's mission statement asserts that we are "one of America's oldest consumer finance companies" and claims we "have the resources and expertise to help its customers achieve their goals and realize their dreams" (www.beneficial.com) Yet, we lack one of the most fundamental aspects of banking today. This missing link in our company that would make our financial institution complete is Web banking. In order to continue to be a leader in providing "money solutions" to "millions of hard-working people," development of an Internet banking system is mandatory (www.beneficial.com).

A topical analysis of the situation would suggest redundancy in implementing an Internet banking structure, since Beneficial has been quite successful without one for over 85 years. However, an Internet banking system would enhance our bank, in quality and profit, and would lead to a multitude of opportunities for both our institution and our customers. The FDIC Quarterly Banking Profile for the third quarter of 2000 reported that commercial banks recorded their "third best quarterly earnings ever" ("FDIC" 1). This improvement signifies that the demand for bank services is up and that banks are needed more than ever to support this positive upward trend.

More importantly, though, is the fact that commerce via the Internet is flourishing at an extraordinary pace- commerce that certainly encompasses banking transactions. The following illustration by the Forrester Research, Inc. study forecasted that I-commerce as a channel of revenue would increase from 15% to 42% in only 4 years and that all other forms of commerce, such as direct sales, will drop (Diniz 2):

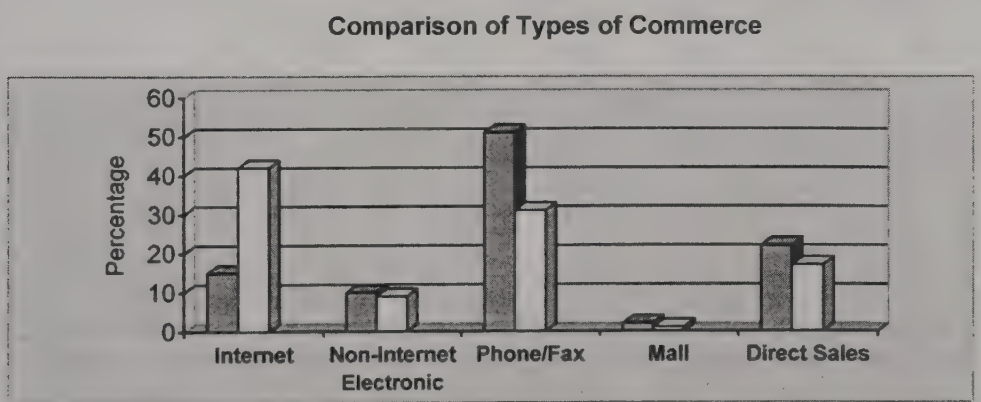

Figure 1

Because of the general increase in demand for bank services and the growing appeal of I-commerce, expansion to include an Internet banking format is the next logical step in our progress.

Recent trends reporting increases in demand for bank services and I-commerce coupled with the fact that more than half of all banks nationwide offer some form of online banking point to one end- that Beneficial should capitalize on this banking innovation as soon as possible. There are some issues that must be addressed when considering a Web banking system, like the financial costs and the possibility that the service will not be popular with users. However, the gains that an online bank would offer, such as an enlarged customer base and increased profits resulting from reduced transaction costs, will certainly make this new service a worthwhile investment, now and for the future.

The next Research Review section will discuss all of the above-mentioned topics, and more, in further depth and will provide insight into the aspects of this new genre of banking.

Research Review

Reasons

An Internet banking division would enhance our bank, in quality and profit, and would lead to a multitude of opportunities for both our institution and our customers. The FDIC Quarterly Banking Profile for the third quarter of 2000 reported that commercial banks recorded their "third best quarterly earnings ever" ("FDIC" 1). This improvement signifies that the demand for bank services is up and that banks are needed more than ever to support this positive upward trend. Even higher in appeal is the use of the Internet as a means to conduct business activity and perform fiscal transactions. The U.S. Department of Commerce reports that Internet traffic is doubling every 100 days, and the 1997 Forrester's Business Trade and Technologies strategies research report predicted a forty-fold increase in Internet commerce from $8 billion in 1997 to about $327 billion by the year 2002 (Cuevas 2). A more recent prediction in September 1998 calculated this number to be closer to one trillion dollars by 2002 (Crusciel 1).

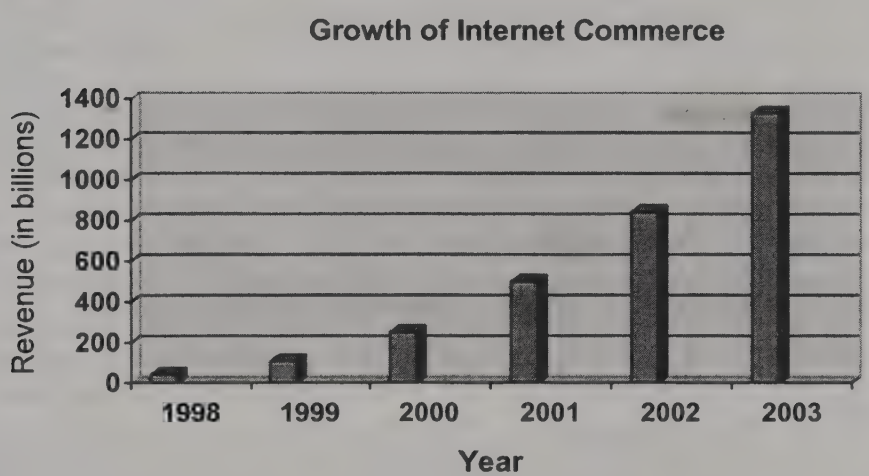

Figure 2

Regardless of which projection may be most accurate, the bottom-line is that substantial growth in I-commerce is inevitable and that consumers' demand for this electronic mode of business is too significant to ignore. Thus, "given the projections that Internet commerce will grow astronomically over the next few years, firms of all sizes must become proactive in not only seeking out Internet opportunities but in determining ways to exploit this revenue generating medium" (1). Thus, trends indicate that firms should already be involved in Internet commerce.

Secondly, nearly 65% of all banks in the United States currently offer some form of online banking for its customers ("FDIC" 3). "According to American Banker, more than two-thirds of the 227 transactional websites counted in June 1998 by the FDIC are offered by banks and thrifts with assets of less than $500 million" (Cuevas 1). The super-banks have been online for some time now, but smaller community banks similar to Beneficial have been emulating their lead. Wells Fargo, NationsBank, First Union, and Fleet are among some of the more notable larger banking institutions that have an exhaustive collection of online services ("CompuBank" 1). Moreover, this number does not include Internet-based banks- financial firms that conduct business solely via the Internet. The Travelers Group/Citicorp, NextCard, E*TRADE, and Net.B@nk are a few of the thousands of Internet-based banks that have "consistently turned a profit" ("Non-banks" 2). The prevalent success of these online banking endeavors is a strong indication that our own establishment of a Web banking system will be auspicious as well.

More importantly, the significance of the large number of banks offering online services is that it forces us to exploit one too, in order to remain the strong force we have become in the past decades. A study conducted by Deloitte and Touche estimates that half of all U.S. bank branches will be substituted by electronic banking within the next ten years (Ramaswami 2). "Most banks have come to stage saying they want to provide Internet banking and that it's important" ("Internet Web" 1). American Express, for instance, has invested close to $100 million during the last five years for this purpose (Ramaswami 2). Digital Insight and Edify are the leaders in Internet banking systems among smaller financial institutions, with 200,000 registered end-users, and medium-sized to large US banks, respectively ("Internet Web" 2). Other recent successful adopters of a Web banking service include Stillwater National Bank of Oklahoma and State National Bank of Big Springs Texas (Cuevas 2). Thus, these banking triumphs "pinpoint a significant incentive for smaller banks to go online" (2), and deeply implies that we also develop a site to remain competitive in the banking market.

Benefits

Once an online banking system is devised and implemented, it will introduce a number of valuable benefits and opportunities. First, we will be able to enlarge our customer base without building new offices or employing more workers. Amarillo Bank, for example, projected 200 initial users upon the site's debut but actually went "beyond expectations" with 4,000 users instead, making it "an overnight success" ("Amarillo" 1). Also, Amarillo has a monthly sign-up rate of 200 users and receives 426 log-ins a day (1). Secondly, providing an Internet bank system will help to ensure retention of existing customers because we would become a comprehensive organization that provides the latest in banking technology in conjunction with the nationally renowned experience and quality people have come to associate with the name Beneficial. Finally, our profits will increase significantly. The cost of an Internet transaction ranges from $.01 to $.07, as compared to $.27 at an ATM, $.54 over the phone, and $1.07 in a physical branch (Cuevas 2).

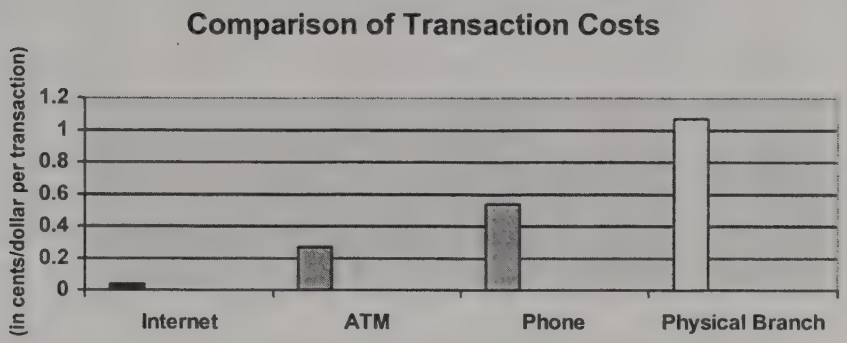

Figure 7

This is a considerable savings, especially if one takes into account the amount of transactions we perform. Also, according to a banking study performed by Sang-Rim Choi and Adrian E. Tschoegl, a reduction in labor coupled with an increase in efficiency translates to an increase in net profit and productivity (Choi and Tschoegl 359-360). By implementing an Internet system, we would simultaneously decrease the amount of workers needed to perform those same online services while making considerable gains in efficiency from the high speed of the Internet. These advantages in implementing online banking are compelling reasons enough to do so and undeniably outweigh all the costs.

Setbacks

There is the obvious financial hindrance. According to one writer, "The cost of developing an online banking business includes not only the basic expenses involved in putting together the website, but also legal and regulatory hurdles, investment in security systems, and significant expenditures to drive business to a site once it has been created. Development costs include infrastructure expenses, including acquiring the necessary computing power to make the online system effective, as well as costs to employ personnel or hire consultants to set up and manage the system" (Conger 5). However, the startup cost is much lower than what one might expect. Amarillo Bank, which has a total asset of $1.3 billion, started its web banking system on a development budget of only $18,000; that is, it took the bank less than 0.0014% to establish a flourishing system ("Amarillo" 1).

There is also the equally significant issue of the site not being popular with users. However, the success of other online banking systems and the potential market of 60 million-plus Internet users make this barrier to entry very minimal (Conger 6).

Taking all this into consideration, the upcoming Plan section will present a comprehensive outline of the steps to be taken to develop our own successful online banking system.

Plan

Project Objective

To develop and implement an online banking system that incorporates the basic features of an Internet banking program into a simple user-friendly layout. One of the factors that will distinguish our online banking system from others is our emphasis on a simple user-friendly layout.

Planning Meetings

General Pre-Project Meeting

The general meeting is intended to:

- summarize the importance of an online banking system
- discuss the requirements of an Internet banking system
- schedule and setup workshop meetings

Workshop Meetings

Workshop meetings are intended to address and map out the specific steps to be taken for various stages of the implementation of an online bank system. Each meeting will feature specialists and/or speakers related to the particular areas of:

- computer networking- Electronic Data Systems (EDS)
- webpage design- Digital Planet
- customer information campaign

Post-Project Meeting

The post-project meeting will be used to:

- examine the resulting online system
- make any alterations, if necessary, to the system

Design/Development

Computer Network

As with any Internet-based system requiring a client-server architecture, a computer network must be developed. The network will link all our customers' account information from all 950 physical branch databases directly to one central server database. However, as an established financial institution, the physical connections for such an information network have been previously established; all the information in any local branch is accessible via remote access through an application-shared database computer from our headquarters in Baltimore, MD.

Yet, to allow Beneficial customers from anywhere around the world to access their accounts any time of day or night, we must implement a special network called a special area network (SAN). An SAN will provide an "any-to-any" mechanism for our

server to access multiple disk resources for the purposes of both the traditional network client-sever applications and/or transaction-processing application (Nolle 1).

To construct such an SAN, we will employ the services of Electronic Data Systems (EDS), one of the leading network solutions specialists firms today. There are two main reasons why EDS was chosen above other firms:

1. EDS is a full-service provider, which means that they offer their clients subscription-based storage service for a monthly fee that includes a Service Level Agreement (SLA) guaranteeing customers the data storage capacity they demand. They do offer optional services as well, including data protection, data transfer, backup and restoration, and disaster recovery.
2. EDS has developed global networks for other banking institutions, including Capital One, First Union Bank, Fleet Bank, Washington Mutual, and World Savings.

As a full-service provider, EDS does provide its clients with the following to startup and manage a successful online banking system:

- Fiber-channel networking infrastructure using EMC Symmetrix as the storage array platform (Clark 6)
- Software- EDS has assembled software programs customized to meet the needs of Beneficial, and the following software applications are offered as a package
    - network management- CiscoWorks 2000 LAN/SAN Management
    - network database- Microsoft SQL Server 2000 Enterprise Edition
    - internet server- Microsoft Commerce Edition 2000
    - communication suite- IBM Secureway Communications Server V6.1
    - encryption- CA Crypt IT V1.06 Workgroup Edition
    - network utility- Citrix Metaframe V1.8 Enterprise Edition
- Licensing- each software application requires a license, and EDS handles all of the necessary paperwork and processing for Beneficial
- Support and Training- in addition to providing us with the hardware and software to startup our SAN, the monthly subscription-based fee will pay for:
    - monthly EDS monitoring and system-failure testing
    - client support and troubleshooting
    - training of Beneficial employees to use, manage, and upgrade (when necessary) the system
    - a training program for Beneficial customer financial specialists on how to input new account information for processing

Website

The primary factor that will distinguish our online banking system from others is our emphasis on simplicity of our finance website. Since we do currently have a Beneficial homepage, all that is required is the addition of an "Online Personal Finance" link that connects to a webpage for customer access to our online system.

The "Online Personal Finance" page will allow Beneficial customers the three basic features of an online bank- (1) view account activity/transaction summaries, (2) transfer funds or balances, and (3) pay bills. It will also highlight the following:

- customer login text field- customers will be asked to input information such as their name, social security number, and account number
- password/pincode text field
- button for viewing account activity
- button for transferring funds
- button to pay bills
- "forgot your password?" feature
- link for online banking enrollment
- link for direct access to customer service
- link for more information about the other services of Beneficial

For this supplementary webpage, we will employ the services of the same web developers that designed our homepage- Digital Planet.

Customer Information Distribution Campaign

We will inform our present customers about the new service three months prior to its availability. This will allow time for interested customers to enroll, and provide us with an idea of the demand for such a service.

There are four channels by which to distribute information and to contact our customers:

1. physical branch- distribute information brochures at all of our 950 local branches
2. homepage
3. traditional mailings
4. email, if applicable

Customer Enrollment Campaign

Customers will be able to enroll:

- at their local branches- each local Beneficial branch financial specialist will be trained to input and submit customer information into the database for processing
- online- there will a link on the "Online Personal Finance" page that will allow customers to directly sign up
- by calling our customer service toll free number at 1-800-371-6441

Budget

This budget is an estimate of the maximum cost that will be incurred on the proposed online banking system. The budget below is calculated for the first year (total costs for startup) and for subsequent years (total costs for maintaining).

Monthly EDS subscription-based storage service fee	=$50,000
• initial SAN fiber channel setup	= $75,000
• monthly monitoring and testing	
• customer support and troubleshooting	
Software	
• internet server- Microsoft Commerce Enterprise Edition 2000	=$12,268.96
• network database- Microsoft SQL Server 2000 Enterprise Edition	= $9,997.86
• network utility- Citrix Metaframe V1.8 Enterprise Edition	= $9,395.00
• network management- CiscoWorks 2000 LAN/SAN Management	= $1,599.72
• encryption- CA Crypt IT V1.06 Workgroup Edition	= $1,157.91
• communication suite- IBM Secureway Communication Server V6.1	= $839.43
Licensing	
• $1,300 per software application license	= $7,800.00
EDS training program for Beneficial employees	=$45,000.00
• trained to use, manage, and update the system	
• train customer financial specialists on data entry/enrollment	
Digital Planet web developer/IT specialist	=$65,000.00
Webmaster	=$30,000.00
• annual maintenance of site	
Information distribution and enrollment campaigns	= $97,000.00
• brochures	
• posters	
• labor	
Total Cost for First Year	= $955,058.88
Total Annual Cost	=$630,000.00

Discussion

Though the startup and maintenance costs do seem rather expensive, in comparison to Beneficial's average annual total assets of $3 billion dollars, the project is very affordable. The total startup cost is less than 0.032% of our bank's annual assets, and the total maintenance cost is 0.021%. Taking into account the money that Beneficial would save from transaction costs and a likely potential of drastically increasing our market area without building new offices or field services, it is expected that our profits will increase. Over time, the new online banking system would pay for itself.

Our new online system will push us back to the forefront of banking excellence, and even further. Unlike some other Internet banking sites that are overly complicated or charge expensive fees for customer access, which may in turn discourage their use, Beneficial's site will be designed with our customers in mind and at no extra charge. Featuring an extra user-friendly layout, our system will invite our customers to join in on what other bank's customers have been utilizing for some time now. Here at Beneficial, we understand the importance of saving money and time, and that is exactly what our Web banking system would do for our customers and for us.

The new service will create many positive changes for our valued customers. The Internet banking system will give our customers the convenience they cannot receive from traditional banking- the option to view their accounts, transfer funds, pay bills, or do anything else related to money except withdrawals, all at the click of a button from the comfort of their homes at any time of day or night. Our customers will no longer have to worry about the hassles of organizing their accounts, writing checks, stamps, and mailing bills. The online system can provide all of these services and more. The system will also give them the power to monitor their bank accounts day to day, instead of waiting for a monthly statement. Most importantly, the online service will better interacting possibilities between Beneficial and our customers, which may result in more intimate customer relationships- something synonymous with our name.

With so many possible gains at such a modest cost, an online banking division is certainly something not to be overlooked. Our mission statement does iterate that our customers will "enjoy many other important benefits, now and in the future. Choosing Beneficial means getting the money you're looking for…and much more." This new addition is a wise investment into the future of Beneficial, for it provides our customers with one of today's most important banking innovations while giving us the resources to continue our outstanding service.

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Improving Lecture Hall Technology

This is a very strong proposal with a clear sense of paradigm and overall presentation.

[Address withheld]
May 6, 2002

Dr. Monica D. Devanas
Director of Faculty Development and Assessment Program
Teaching Excellence Center
Rutgers, The State University of New Jersey
116 College Avenue
New Brunswick, NJ 08901

Re: Proposed Expansion to Enhanced Classroom Services

Dear Dr. Devanas:

I would like to thank you for attending my project presentation earlier this month. Attached to this letter is a final copy of my proposal for *Expanding Classroom Technology to Aid Collaboration*. This proposal focuses on the importance of improving lecture hall environments via a technological expansion of Enhanced Classroom Services.

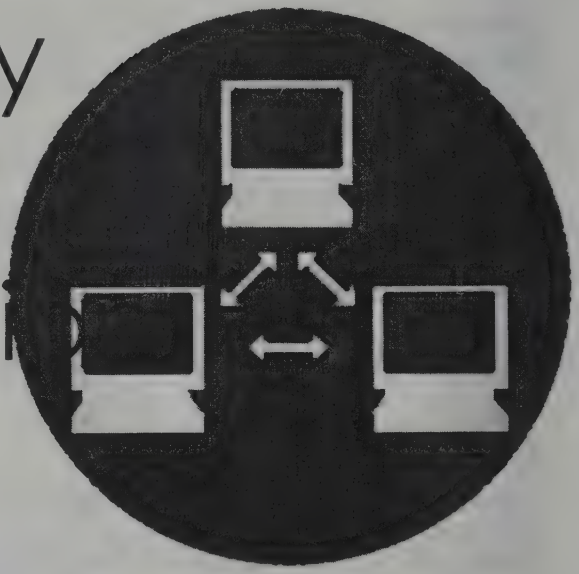
I recently conducted a small student poll in my dormitory (Metzger Hall on Busch Campus) and asked ninety freshmen students the reason why they do not raise questions during lectures. An overwhelming 78% of the students sampled indicated that they do not raise their hands in lecture due to the daunting "environment of the lecture hall" or their "fear of embarrassment." This problem can be remedied with an increase in communication technology to enable participation and synchronous interaction between teachers and students. It is common nowadays for students to email their professors to ask questions about class material. However, this is after the class itself has ended, when questions are much less likely to relate directly to what the professor said in lecture. With new technologies, however, it would be possible to have synchronous communication and full participation in lecture halls.

My plan is to install wirelessly-networked PDA technology into the Physics Lecture Hall on Busch Campus. Budget analysis will show that the University can undertake this project with corporately subsidized funds, which falls under one of the goals of Enhanced Classroom Support. Potential uses of the system are also detailed and show how this system can change the dynamic of the lecture hall, but also education as we know it.

Thank you for your time in considering my proposal.

Sincerely,
Erik Norman Larson

Expanding Classroom Technology To Aid Collaborati



Adding a Wireless PDA Network to Lecture Halls

Submitted to: Monica D. Devanas
Director of Faculty Development and Assessment
Teaching Excellence Center
116 College Avenue
Rutgers, The State University of New Jersey
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Submitted by: Erik Larson

Abstract

Lecture hall classrooms are not conducive to student participation. This proposal looks at past, present, and state-of-the-art educational technology systems used to improve communication in lecture halls. Educational tools of the past and present focused mainly on visual aid systems such as televisions, LCD projectors, and overhead transparencies with the only exception to that being Rutgers University's own Personal Response System (PRS). The PRS is the first attempt at an *active* edu-tech system and is representative of the problem: a lack of a truly active educational technology system. The solution to this is the proposed Wireless/PDA system to be implemented initially at the Physics Lecture Hall on Busch Campus. The wireless/PDA system takes advantage of the flexibility and ease of use in the two 'hottest' technologies in the computing industry. Several K-12 school districts and universities will be looked at for their wireless/PDA implementations and how their respective systems have improved their quality of education. The budget will show that this wireless/PDA system can be quickly implemented with low cost and a short interval of training. And once the system is in place, it can be quickly adapted to other classrooms and lecture halls.

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Executive Summary

Collegiate lecture halls can be very daunting to students, freshman in particular. The main problem with lecture halls is the size. Most lectures have at least one hundreds students attending, which leaves minimal or no time given to the individual student. Students do not get the time to ask and answer questions in lectures, as they would in small classroom settings. The second problem of lecture halls is the environment of the lecture hall itself.. They are large and distracting to many students. In addition, many students do not participate in lectures because of a fear of embarrassment by either the professor or other students.

Lecture halls typically deploy visual aids such as projector transparencies, computer screens, and videos in order to clarify, and reaffirm certain points. The goal of visual aids is to increase the amount of learning retention, however this many times does not happen. The reason for this is that visual aids are a *passive educational technology*; it focuses on a one-sided broadcast of information. *Active educational technology*, on the other hand, focuses on interaction, an exchange of information between teacher and student. An example of an active educational system is the networked computer lab. However, there is no large scale active system to be used in lecture halls.

The first attempt at a large-scale active system is the Personal Response System, developed by Rutgers University in 1997. The Personal Response System uses electronic polling via a small transmitter device that each individual student in the lecture hall has. This system gives faculty periodic feedback on the amount of understanding students have. However, there are serious drawbacks to the Personal Response System. Firstly, it allows only the use of multiple-choice polling questions. Secondly students cannot address faculty with the device, thus it is a passive educational technology system. It does not allow full collaboration between student and teacher that is the key in the problem of lecture hall environments. It is only when a student and teacher can work together, that understanding, education and retention can be achieved.

A study was done in 1994 of students earning their MBA in a specific class setting, some using collaborative technology (active educational technology) and some not. The study showed that the students who used the technology had grades, skills, and interest far above of that of the 'regular learners.' Another model of a successful collaborative system is in the case of a team of John Deere engineers. A large amount of engineers, all with the goal to improve one tractor but all from different engineering departments, found that they could not create any real improvements due to a lack of standardization and a lack of feedback from other departments. However, when John Deere installed a network database, a type of active system, it allowed a full exchange of information and thus the company was able to test and improve their tractors successfully. These two examples show that when collaborative or active technology systems are in place, free exchange of information occurs and all participants involved benefit greatly.

Many K-12 schools and universities have been adapting to wireless networking and PDA (Personal Data Assistants) technologies for their educational solutions. Wireless networking is much cheaper than standard networking mediums and is able to be installed in almost any environment. PDAs would be ideally suited to lecture hall environments because of their small

size, large educational software base and, easy to use interface, and most importantly they are an *active* educational technology system. Using PDAs students would be able to transmit questions to their professor that otherwise they would be too embarrassed to ask out of fear of sounding unintelligent. The professor would be able to share information with students, allowing full interaction between students and professor, thus raising the educational 'bar' of the lecture hall environment.

My proposal calls for the Physics Lecture Hall on the Busch Campus to be outfitted with 140 Palm i710 PDAs. The reasoning for that particular Palm Pilot model is that it is the first PDA to have a wireless network card integrated, thus allowing a savings of about $150 per unit. The justification of using the Physics Lecture Hall is that, firstly, the lecture hall is the main user of the PRS therefore would most easily adjust to the new system. Secondly, a poll conducted across multiple campuses here at Rutgers University led to majority support of an initial PDA system that was in the area of science.

The entire system would cost approximately $72,000 but, keeping in line with the goals of the Teaching Excellence Center, would be corporately subsidized partially or fully. Subsidization would occur because mainly, nothing like this system has ever been attempted at a college or university. In addition, Palm has a history of partially subsidizing schools that have paved the way in various forms of PDA use. The wireless/PDA system is a cost-effective, extremely affordable system that not only will finally bridge the gap between student and faculty in PDA environments but has the potential to completely change the way we know of education forever. Proceeding with this plan would make the nation see that Rutgers University is a leader in educational innovation.

Introduction

Any college student will tell you that they do not receive same amount of learning in a lecture hall, as in a small classroom setting. Moreover, any incoming freshman to a university or college will tell you that lecture halls can be daunting. The student is just one awash with hundreds of others, all sitting before a single man who the student most likely cannot see or hear clearly. As one can see, there are many problems inherent in lecture halls.

First and foremost, the main problem with lecture halls is the size. Most lectures have at least one hundred students attending, which leaves minimal or no time given to the individual student. What this means, obviously, is that most of the student questions and concerns regarding the material, cannot be addressed. The most favorable outcome one can look for in lecture halls is that the *majority* of the students' concerns and questions will be answered. And even in this favorable outcome, there is a portion of the attending population that does not understand the material completely. In large lectures of 500 students or more, this portion of the population can be quite sizeable.

The second concern of lecture halls is the environment itself. Lecture halls are typically large and usually abnormally quiet. This is dramatically different from the small, cozy, and bustling environment of the small classroom. This can be exemplified in the fact that it is fairly easy for a student to fall asleep in a lecture hall, but it is a more difficult process to 'avoid' learning in a classroom. The discomforting environment of the lecture hall can thus lead to students acting in a non-responsive, shy manner. It is also harder to focus in a lecture environment, because the professor seems so far and distant. It is common to see students doing the crossword in The Daily Targum, in the middle of a psychology lecture. When one is not comfortable with their surroundings, they are more likely to act timidly. Additionally, it is natural for people to act in competitive fashion. It can be said that students are more competitive than most people as they are muscling for rank within the individual class, their student body, and in the ever-present social hierarchy. Knowing this, it can be concluded that students have a tendency to not raise their hands in question, concern, or even response because of the inherent fear of looking inferior to others.

In order to back this informal argument, on April 15, 2002, I conducted a small student poll in my dormitory (Metzger Hall on Busch Campus). I set up a table in the lobby (with the permission of our Residence Advisor) and was able to get ninety first-year students (who are most likely to have lecture classes) to answer a short survey about their experiences. First I asked if any had ever participated in a lecture class, by asking or answering a question. All 90 said they never had. I then asked why they did not raise questions during lectures. An overwhelming 78% of the students sampled indicated that they do not raise their hands in lecture due to the daunting environment of the lecture hall and a fear of embarrassment.

Thankfully, most professors do not rely on their underpowered voices to communicate to the class. They use *visual aids* to assist in communicating their thoughts, whether it is in the form of blackboards, projectors, and computer displays. Visual aids can be thought of as passive educational technology systems. Passive means that something only takes in data and does not

communicate back; this is exactly what visual aids do. In passive systems, there is one party broadcasting information, and another party receiving it. Passive technology caters to the group not the individual. All visual aid techniques clearly express this fact. A professor in a lecture hall obviously does not display PowerPoint slides meant for individuals. Thus, the fundamental problem with passive systems is that there is a clear lack of interactivity and exchange of communication. Active systems, on the other hand, focus on interactivity and an exchange of information. An example of this is the networked computer lab. However, a computer lab is hard to implement on a large scale and is also rather expensive.

The lack of interactivity had no clear solution until wireless technologies finally became practical to the classroom in 1997-1998. One of the first systems that *promoted interactivity* came out at this time. This system is the infamous Personal Response System (hereafter known as the PRS), developed initially at Rutgers, which spread to lecture halls across College Avenue, Busch, and Livingston, most infamous in the Physics Lecture Hall. The system is basically remote-control polling. The teacher displays a multiple choice question and students beam their result by pressing the appropriate number on the keypad Results are transmitted to a computer, which tabulates results in a graphical format (see figures 1 and 2). This approach to interactive learning was revolutionary at the time of its initial test-deployment in 1998 and is still partly useful. The concept behind it is the idea of giving more direct-educational contact to the typically anonymous student in the lecture environment. Through the use of questions of the polling type, students can let teachers know where they stand with the material; a professor using this data can adjust his class dynamically to deal with clarification, and at the same time the professor can receive attendance instantly. Finally, the polling structure of the system enables the professor to make more use of the system dynamically throughout a class period by turning any question into a multiple choice format. The price for this system is reasonable at a cost of $2,400 for a small lecture pack (EduCue 1). This cost can be dramatically lessened by putting the cost of the device upon the student (which is what Rutgers University does).

Figure 1 - PRS Transmitter
(Courtesy of www.educue.com)

Figure 2 - Small-scale PRS Deployment
(Courtesy of www.educue.com)

Unfortunately there are severe limitations with the PRS system. The system firstly is not dynamic to the student. This means that content is not suited to the individual student and does not address needs on a personal basis. Moreover, there is a limit to the interactivity between student and professor. The student essentially takes a passive role, in being the one to answer questions. The system does not take into account the need to actively send out information to the professor; although the PRS is an attempt at an active system, it does not have true interactivity, and thus still shares the disadvantages of passive technology systems. One may question this idea, but

electronic submission of questions to the professor instead of raising one's hand has its advantages. In a good-sized lecture, let one say 120+, there is the inevitability that there will be students whose questions will not be addressed. It is clear that a new system is needed, one that uses communication technology to increase interactivity between teacher and student.

Rebecca Burnett, professor of Rhetoric and Professional Communication at Iowa State University, states: "Conventional notions of technology see it as a tool, something neutral to aid users in completing a task. We view technology less as a tool than as a shaper of human interaction" (Selber 186). Visual aids and communication technology are not just methods used to assist in the writing of notes, but something that changes the dynamic of the 'playing field.' The lecturer does not seem as distant, the student does not seem as out of the loop as he thought he was. Burnett says, "The introduction of communications technology into the workplace can flatten hierarchies because people speaking through computer-mediated communication tend to communicate on equal levels, regardless of their status in the organization" (Selber 186). By implementing communication technology, one can change the learning/working 'playing field' and better the experience. Communication technology can be seen as unique because not only does it improve the rate at which one communicates, but it brings people together for a common goal. In the lecture hall, visual aids are used so the group, not the individual, has a better understanding. The ideal that communication technology is striving to achieve, particularly active educational technology, is true *collaboration.*

Collaboration is the key idea in the problem of lecture hall environments. It is only when student and teacher can work together, that understanding, education and retention can be gained. A study of a technological-based collaborative system, called the Group Decision Support System, or GDSS was performed by M. Alavi in 1994. He had 127 students analyzing 10 short business cases. Seventy-nine students formed four-person teams using GDSS software, while the remaining students were in a traditional classroom with no technological support. Alavi concluded that:

> in support of their group learning activities perceived higher levels of skill development, learning and interest in learning relative to students who did not use GDSS... Another interesting finding was that the final course grades of the students who were exposed to the computer-mediated collaborative learning were significantly higher than the students who did not use computers in support of their collaborative learning activities (Selber 181-3).

This study has far-reaching implications on the use of collaborative technology in the lecture hall environment. It can be said that in a normal educational environment, students and teachers are working collaboratively for the purpose of education (students receiving it, and teachers giving it). However, in a lecture hall that uses active educational technology student and teacher are working collaboratively through the use of a computerized medium. One can see that there is strong parallelism between Alavi's study and these lecture hall situations. Therefore, it can be inferred that students who use an active system will receive similar benefits in the areas of grades, learning, and interest as the MBA students who used computer-mediated collaborative learning.

Another model of successful collaboration through the use of technology is the John Deere Company in Dubuque, Iowa. Several groups of testing engineers in the John Deere plan were in

charge of testing different parts of tractors. A clear image of the tractors performance was difficult to see, because the different engineers all had unique ways of testing. All the engineers had the same goal, to create better tractors, but each engineer with its respective department was only concerned with its own part of the process. Then John Deere and Co introduced a networked data system (an active or collaborative technological system) to the different engineering departments. "Since the system has been implemented, there has been a substantial increase in the number of tests performed and a dramatic change in the way tests are performed" (Selber 180-1). Collaborative technology created a better flow of information between the disparate engineering departments. Rebecca Burnett and David Clark, both professors of Rhetoric and Professional Communication at Iowa State University, state the relationship between this example and the idea of active educational technology:

> In the workplace, [collaborative technology][1] of various kinds helps professionals manage complex, ill-structured tasks. In classroom situations, [collaborative technology] has additional potential benefits because the pedagogical goals go beyond simply helping students complete a specific task. One of the persistent problems in education is making the experience more dynamic and interactive, so the emphasis is less on students as the recipients of transmitted information and more on their opportunities to transform it (Selber 181).

This quotation from Burnett and Clark exemplifies the purpose of active technological systems in lecture halls. Passive systems do not make the experience more dynamic and interactive; they treat students as merely 'catchers' of pieces of information. In addition, the John Deere model shows yet again that collaborative technology increases learning and understanding. The key item responsible for this is the flow of information made possible by collaborative technology. It can be seen that an active system carried out in a lecture hall setting would make the experience "more dynamic and interactive" and would thus increase the exchange of information between student and teacher and thus increase learning and education.

An additional benefit to using technology for collaboration is the "reduction of the impact of factors recognized as influential in face-to-face interaction" (Selber 195). Such factors of face-to-face interaction include language barriers (a well known problem that students face here at Rutgers University), the fear of embarrassment, and the competitive drive between students which can prevent a full expression of ideas from occurring. When one is using a computer as an interface between people, one does not need to worry about all the environmental factors that come into play in normal social contact. The interface is separate from the 'real world' and thus all the stress and agitation normally caused by educational social interaction is removed. Thus ideas can be exchanged more readily between users, than between people.

The level of collaboration and the effectiveness of it can be displayed in the idea of a shared environment dimension proposed by Ellis, Gibbs, and Rein, which is shown below in Figure 3 (Selber 178).

[1] In the actual quote, the term *groupware* is used. Groupware refers to "software that supports groups of people engaged in a common task and provides an interface to a shared environment" (Selber 173). For all practical purposes, this is collaborative technology.

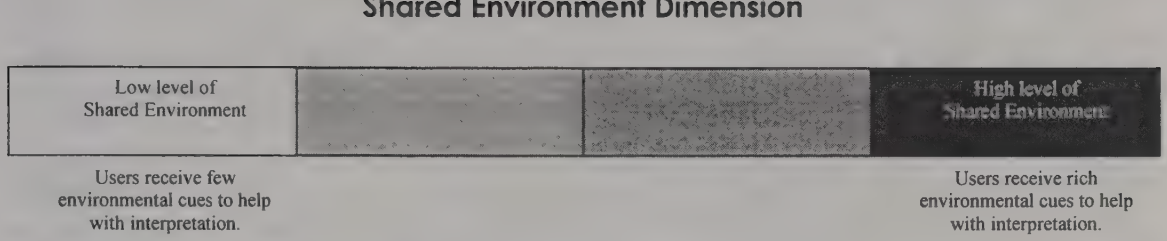

Figure 3: Environment considerations in collaboration (Selber 179)

Passive systems can be seen as on the low end of the shared environment dimension; there is not much information that is being exchanged between student and teacher, and thus interpretation of material is left to the student and the student alone. Active systems, on the other hand, are in a rich shared environment, where information is easily communicated. The ease of flow of information allows the student to have much better interpretation from his environment, or in the case of an active system, his technologically leveled 'playing field.' It can be seen that it would be to the great benefit of the student if active educational or collaborative technology system be implemented in lecture hall environments. Such a system would clearly increase the amount of education and understanding received during lectures.

It is clear that there are severe limitations even with the best educational technology system that Rutgers University offers today, the Personal Response System. Since the PRS came out, many schools have been switching to systems using personal data assistants or PDAs. PDA'They are handheld computers in which users interact with it using a stylus (a pen with the functions of both keyboard and mouse). These devices have come a long way in the last few years from being gadgets to being the proper way to keep track of information. Many colleges and universities have seen the great potential in this technology (combined with wireless) such as Seton Hall, Dartmouth University, the University of New England, Colorado University and many others. Many students have noticed that Rutgers is not one of the schools with a similar initiative. The use of PDA and wireless technology allows for the creation of the first truly active educational system for the lecture hall environment and is the next logical step in advancement from the PRS system.

Our school has not been able to keep up with the new technology students have been demanded. An objective poll taken on 2/26/02 of 116 students from multiple campuses has indicated that an overwhelming 94.8% of those surveyed indicated that they would want teachers to have the opportunity to teach in PDA-oriented settings. An additional small survey conducted also on 2/26/02 of 26 professors and teaching assistants showed unanimous support for extended enhanced classroom services in the areas of wireless and PDA technologies (see Figure #). Unmistakably, the demand exists for a system incorporating wireless technology and PDA technology.

The question, then, is what area of study it should be initially focused upon and then what environment would be suitable for test-deployment. While surveying 116 students here at Rutgers, I asked them what area of study would benefit most initially from wireless/PDA technology. The majority (58%) indicated that science courses would profit the most from the new technology initially. From that it can be concluded that the Physics Lecture Hall on the Busch campus should be the recipient. Most of the curricula of the physics department involve the use of the PRS system. Thus it would be an easier transition for the Physics Department faculty and the students. In addition, physics as a whole requires the use of many visual aids which could easily be transported onto the PDA screen, whether through the use of web content or specialized software. This plan, for obvious reasons, has two main physical components:

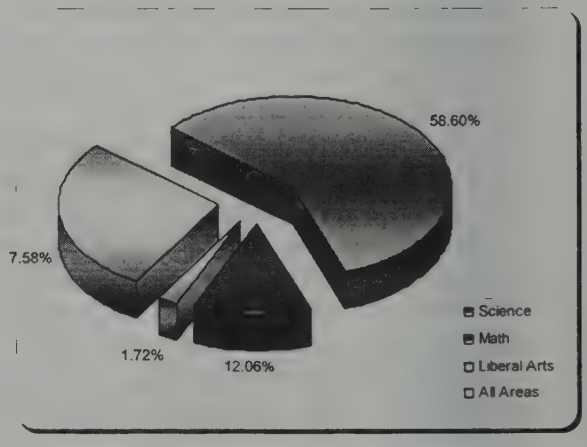

Figure 4 – Breakup of area of study survey (Surveyed 2/26/02)

Personal Data Assistant (PDA) – These devices have been out on the market for over five years now, and now have a permanent place in the business world. In addition, the consumer market

and educational market of these devices has grown exponentially. The first successful and still the most successful PDA is the Palm Pilot series. They are the easier to use, more affordable, and have a much large software base than competing Pocket PC based PDAs such as the Compaq iPAQ. It is however, the large software base the Palm Pilot enjoys which is the main factor in the decision to use their product. A system is needed that will last for more than a period of two years; computer products that have a limited software base have a history of fading out of existence. Such examples of this are the Commodore 64, the Tandy PC, and the Amiga PC. The computer products that survived are those who developed a large software base (Apple and the IBM PC). As long as there are plenty of people writing software for a platform, there are plenty of people still purchasing it and using it. It is this survivability which Pocket PC models currently lack that led to the decision to use Palm Pilots.

Palm Pilot's are ideal for the lecture hall environment for a multitude of reasons. Firstly, they take up little space, which is an important consideration considering most lecture hall desks are a 2" square. Secondly, they are extremely cost effective; they offer all the tools that one needs for education, but nothing more. There are no DVD players or mp3 files on Palm Pilots, which means professors would not have to worry about students being distracted by PDA entertainment. Thirdly, they have a very easy-to-use interface and writing style that anyone can pick up in minutes. In addition, Palm Pilots have the capability to do the same automated attendance feature of the PRS. And lastly, they have a 'sleekness' factor that makes people *want* to use them.

The model selected for this project is the newest in the Palm Series, the i705. While one might say that one is wasting money in purchasing the most state-of-the-art model, the i705 has one important feature that *all* other PDAs lack: an integrated wireless network card (*Palm Products: i705*... 1-5). These devices are needed in order to connect the individual PDAs to the larger network. Normally these PDA wireless network cards cost around $200 each. Therefore if one purchase the next lower model, the Palm m515, which is about $50 cheaper the i705, it would actually be $150 more expensive because the purchase of a wireless network card would be required (*Palm Products: m515*... 1-6). Additional technical specifications on the i705 can be found in Appendix A, P. 19.

802.11b Wireless Network - For an indoor lecture hall setting, the plan that would be most suitable would be one similar to the infrastructure created at Mount St Mary's College in Emmitsburg, MD. Mount St Mary's College was founded in 1808 and most of their buildings are at least 100 years old. The college installed wireless access points (devices that transmit and receive the network data) in two large dormitory buildings, two large auditoriums, the library, and the main administration building. The two auditoriums each have a capacity of about 800 people; similarly, the Physics Lecture Hall has a capacity of 300. They chose to use the 3COM Corporation's AirConnect access points to distribute the signal through the air. "'Cost was an important factor,'" says Bobby Flack, the director of IT at Mount St Mary's. 'The AirConnect product's functionality, ease of installation and use, as well as cost made them the logical choice'" (*19nth Century* 1-2). Approximately three AirConnect devices would be needed to wire up the lecture hall, each with a price of about $1200 dollars. The price of each connection is about $20; this is much more inexpensive than standard data over copper technologies which cost about $200 per connection. These devices are ideal for use in Rutgers University buildings,

specifically the Physics Lecture Hall. If they can be installed in a hundred-year old auditorium, then they should have no problem being installed in a 40-year old lecture hall on Busch Campus.

Plan Implementation – Once the wireless/PDA plan is approved, it would move into its 'deal finding' phase. Deal finding is the process of contacting corporations, particularly Palm Incorporated, to partially or fully subsidize the project (see the Budget and Financing section for more details). Once capital has been secured, the wireless and PDA materials would be appropriated and construction would begin. Based on personal experience dealing with lab setup and wireless access point installation, it is estimated that this plan will take at the most two months to be fully constructed. This would be an action ideally performed over summer break, when the Physics Lecture Hall is typically in little or no use. Construction would comprise of installation of the AirConnect wireless access points, software installs to the PDAs, and securement of the Palm Pilots via a metallic tether. From then the project would enter its field training phase. Field training is a two week period of system testing, that any bugs or glitches in the system can be gotten rid of. From there, the ECS would start advertising the expanded capabilities of the Physics Lecture Hall both to students and faculty via email and the ECS website. Faculty that found out about this new system, and wanted to take advantage of it would be sent to a training seminar, which is discussed later in the Budget and Finance overview. After this phase of the project is completed, the new and improved Physics Lecture Hall would be available to be used by classes. A flowchart representing the implementation plan can be found in Appendix B, P. 20.

Applications or electronic classroom materials are what Stuart A. Selber, Professor of Technical Communication and Rhetoric at Texas Tech University, calls "the final pedagogical force -- [their] designs and functions encourage particular social relations and ways of thinking" (Selber 27). Infrastructure provides the necessary means, but applications provide the way and manner of interaction and education. Technology is useless without a use, and this is exactly what these applications would bring to a wireless/PDA infrastructure.

Besides the electronic polling methods presented by the PRS system, there are countless opportunities foreseeable using this technology. Because the system would be application/program based, it would be flexible, and not have the limitation and adaptation problems of the PRS system. Some foreseeable, highly-manageable and realistic pedagogical methods are listed as of follows:

Enhanced Personal Response System (ePRS) – A next-generation feedback system with the intent to incorporate individualized questions and statements from students and then displayed on a monitor for the professor to see. The ePRS system would perform the classic polling and attendance functions, but would also give him up to date, essentially *tactical data*, on the student's educational progression. The student and teacher would be basically *collaborating* together in order for the best educational result. This system is not as extravagant as one might think; River Hill High School in Clarksville, Md is running a very similar program using iPAQ PDAs. "Using their handheld computers, River Hill students can read online and respond to questions within their texts. [Teachers] can deliver quizzes and discussion questions online, and watch on their laptops as students enter their keystrokes. I'll know if Johnny can't write a thing, or if Mary is off track. Then we have a discussion, and I can instantly disseminate model student thinking or writing" (Emery 2). The ePRS would have this exact ability, but would be more streamlined to deal with the difference in student load between high school and collegiate environments.

Lab-based measurement and centralized recording – Students could have the ability to both measure/perform tasks/do experiments with the assistance of a PDA. Data taken during labs would be sent to a central computer where it could be instantly analyzed. As opposed to the current system where students take down data on paper and some person has to input all the numbers in to perform statistical analysis. In addition, students would be able to pull up relevant information databased from other experiments. Wake Forest University has very similar application to this that allows "students to access and manage information about course work, as well as view records and transcripts – via the university's wireless LAN (Tillet 2). The University of New England, in addition, has a similarly designed program called Dentrix, a dental management application that provides scheduling calendar, patient history, and billing data all remotely (Hocmuth 1).

Interactive model learning – It is intrinsically known to all math and physics majors, that there are some problems that one cannot really visualize in one's head or on paper, at least initially. In lecture or even recitation environments, students could look at their enhanced classroom's PDAs

for three-dimensional visualization. Students individually could view a given problem from any angle and thus reach a better understanding of it. Sometimes even the best professors need some help.

Dynamic Test Taking / Quizzing – Many students know of the Web Assign system, which takes questions from textbooks, puts them online, and randomizes the numbers such that students cannot merely copy the numeric answers from another student and retain credit. The system has been working successful at Rutgers and countless universities around the country. Using PDA and wireless technology, a different randomized test could be given to each student on their PDA screen. Variables would be changed dynamically for the individual student such that no student could cheat off another. Moreover, results would be handed in electronically (which is not a problem considering the great handwriting recognition native to all PDAs); thus, scores could be calculated instantly. Students would know their grades as soon as they electronically 'handed in' their tests. The system would take a lot of unnecessary work away from teaching assistants and let them put more of their focus on educating, not regulating.

Web Content – The most obvious application of using wireless networking would be the use of internet access. Students would be immediately be exposed to unlimited content, which could come to be extraordinarily useful to the learning experience. Brad Mehlenbacher of North Carolina State University says that "the metaphor of web resources invites exploration and interaction, and students are encouraged to use these materials as they would if they were practicing technical communicators" (Selber 223). Essentially, the internet subscribes to the open door theory; that is, if there is an open door, people are bound to go through it. In addition, as any use of the Rutgers computer labs now, the university subscribes to hundreds of online databases that allow one to have access to millions of periodicals, journals, and articles at their fingertips. Web content, would definitely be a must in order to promote ambition and exploring of subject matter.

This budget is a close approximation of the cost to construct and set-up the required infrastructure, training sessions, upkeep, and written resources. The actual budget will, in all probability, be cheaper than this due to bulk-rate pricing on the PDA's, which comprises about 87% of the total cost of this project.

Hardware Costs

Palm i705 *Personal Data Assistants*: These are the newest Palm™ devices out on the market today, and are the first brand of PDA to combine a wireless network adapter and a PDA into a single unit. This feature means that there is no need for a separate adapter card, which would drive the per-unit cost of the PDA up $200. The i705 has a long-life rechargeable battery and a grayscale screen that is ideal for indoor lighting situations. Additional details on this model can be found in Appendix A.

Cost: 140 x $449 = $62, 860.00

3COM AirConnect *Wireless Access Points (WAP's)*: These devices transmit and send data between the PDA's and network switches. Each WAP connects 63 users, and thus for 140-connection plan, three of these devices are needed (*AirConnect Data Sheet* 1).

Cost: 3 x $1,200 = $3,600.00

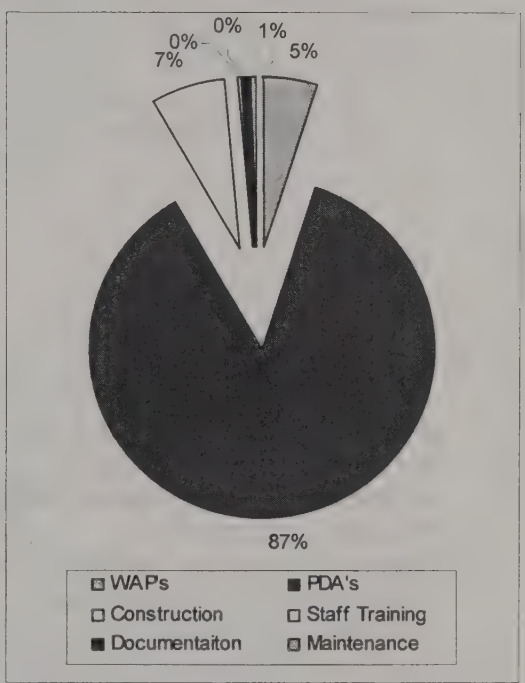

Figure 5: Breakdown of the budget.

Implementation Costs

Construction: In order for the system to work, retrofitting needs to be done to the Physics Lecture Hall. This includes mounting and setting up the WAP's, the attachment of the Palm™ HotSync Cradles on desks, and securing the PDA's with locked metallic tethers.

Cost: $5,000.00

Staff Training: Certain employees of the Enhanced Classroom Services and selected faculty need to be trained on the new devices. This can be accomplished through the use of a seminar hosted in the Physics Lecture Hall that runs through all the specifics of the system and its use.

Cost: $350.00

Documentation: Enhanced Classroom Services maintains a website which contains solutions to common problems, specifics on systems, and guides on how to implement the services to a selected class. This documentation would have to be upgraded, obviously, for the new system.

Cost: $350.00

Maintenance (Projected for one year): As in all things, breakdowns occur every once in a while. Since all the infrastructural components would be under long-term warranty, the only fix-up costs would be those of labor.

Cost: $400.00

Total Cost

3 3COM WAP's	$3,600.00
140 Palm i705 PDA's	62,860.00
Construction	5,000.00
Staff Training	350.00
Documentation	350.00
Maintenance 1yr	400.00
Total	$ 72, 610.00

Financing

Granted, the cost of $72,610 for the wireless/PDA system is not easy to swallow. Computer systems do not come cheap, especially state of the art ones. However, Figure 6 illustrates a comparison of cost of materials between the proposed system and a 'conventional' system that utilizes flat-panel screens and standard copper networking technology. It clearly shows that the only alternative to the proposed system is going to be at least twice as much[2]. Thus, there is much savings in the utilization of this plan.

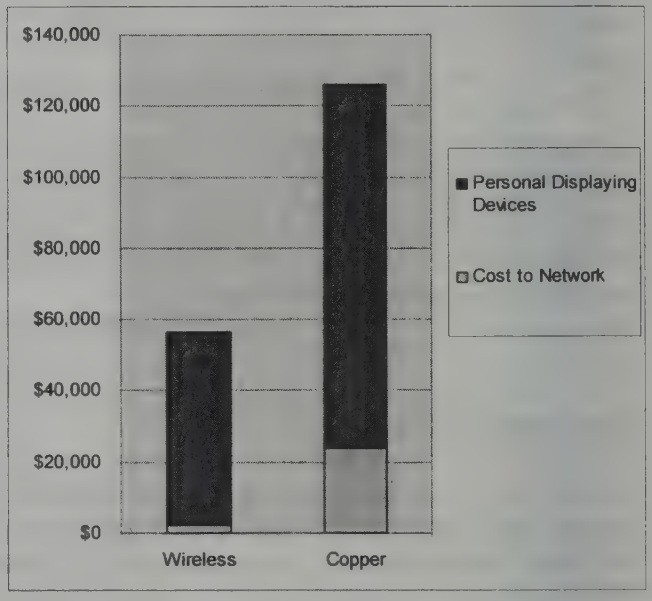

Figure 6: Comparative savings between proposed and conventional systems.

In addition, revolutionary computer systems utilized in educational environments are, more often than not, subsidized by private corporations. Companies donate time, resources, and money to selected institutions in order to promote their product and their company. The PDA/Wireless system would be the first of its kind in the country. No other university has attempted a lecture-hall based solution (further proof of this fact can be seen in that the PRS was developed at Rutgers University). Therefore, any company who is responsible for such a system would gain much attention in a short span of time. This can be seen in the case of River Hill High School in Clarkesville, Md., where the entire freshman class was given a PDA. The project was subsidized as a test site (thus free), by MindSurf Networks Inc (Emery 5). The project was

[2] If one counted construction costs, a conventional system would cost more in the neighborhood of four times as much.

written off by the company because the school's system was the first of its kind, and MindSurf wanted to gain national attention (which it did). In addition, Palm has partially subsidized a multitude of educational test-schools including the University of Connecticut, Marysville High School in Marysville, Ks., and Kansas State University (*Palm In Education* 1-3). The systems that Palm partially paid for are homogenous for the most part. Therefore a cutting-edge system like our own is bound to receive more financial aid. Even if Palm only contributes partially, it will help a vast amount, since most of the cost of this project comes solely from the PDA's. Besides Palm, Rutgers University has an extensive partnership with Cisco Systems, who donates time and personnel regularly to University side projects either as a tax write-off or self-promotion. In exchange, Rutgers uses Cisco as its exclusive vendor of bandwidth infrastructure (Trabb). It is foreseeable for Cisco to have an interest in the rapidly growing market of wireless technology[2]. Thus at the minimum, part of the monetary burden will be lifted from the taxpayer. Because the proposed system has a small cost relative to average 'jobs', it is very likely that corporate subsidization will bear at least half or more of the budget requirement, which will leave a small or no monetary amount left for the university to pay.

The lecture hall environment is a fundamental problem in all higher educational institutions. As long as there have been students at colleges and universities, there have been methods and technology developed to bridge the communication gap between student and teacher. The combination of wireless networking and personal data assistants will allow for students and faculty to exchange questions and knowledge in a personal way, while still maintaining a large scale classroom environment.

Students will find themselves in a dramatically changed Physics Lecture Hall. Their questions about material will be automatically known to the teacher, and students will experience a level of interaction never thought possible in a lecture. Students who normally skip lectures due to its lack of pertinent information to the individual, would have more of an incentive to make the 'journey' to class. Attendance would improve, and since there is a better exchange of information, grades would also improve (as clearly seen in the Alavi study).

If this plan is implemented, Rutgers will maintain its position as a technological innovator in the classroom. This plan is the first of its kind, and will gain Rutgers immediate attention nationwide from technology journals, educational publications, and perhaps even television media. It will look excellent to parents of future University students, as it will show to them that *this college* is always improving education and *cares* about the relationship between students and faculty. It also shows that Rutgers University will keep up with current technology and provide its students with a trendy, state-of-the-art educational experience.

Due to the flexibility of wireless technology and PDA's, this system, once shown to be successful in practice, can be quickly implemented to other lecture halls and classrooms across the five campuses. In addition, there are applications of this technology helpful to the University outside the classroom. For example, Wake Forest University has used PDA's to control the people that go to fraternity parties. ID's are checked via a PDA at the door, and students are given permission only if they are of the drinking age (Tillet 3). It can be seen that this technology has the potential to even cut down on the dreaded problem of underage drinking at this university.

Rutgers University made a major innovation in education with the development of the Personal Response System in 1997, and it can do it again in 2002 with the Wireless/PDA system.

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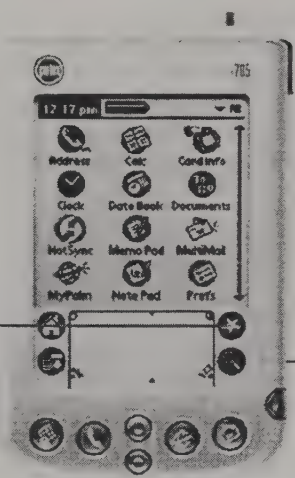
Palm i705 Handheld Features

Vibrating and LED Alarms
Stay on top of your busy schedule with programmable sound or silent alarms.

Palm OS® Software v4.1
- Enhanced security
- Internet connectivity

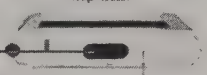
My Favorites
Customizable for any application that is most important to you.



Infrared
"Beam" files and applications—even your business card—to other IR-enabled Palm™ OS® handheld users.

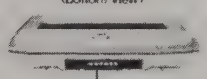
Palm™ Expansion Card Slot
Add additional storage, back-up, applications, and content.

(top view)



Built-in Antenna
Always-on wireless network support within coverage area. No need to raise the antenna. Choose notification via light, sound and/or vibration.

(bottom view)



Palm™ Universal Connector
Snap on a digital camera, keyboard, GPS device and more.

Specifications

Processor
Motorola Dragonball VZ 33 Processor

Operating System – Palm OS® v4.1

Memory
8MB RAM and 4MB ROM

Size and Weight
3.06 in. x 4.65 in x .61 in., 5.9 oz.

Battery
Rechargeable Lithium Polymer Battery
One week of power with normal use.

Display
Transflective Monochrome LCD with Backlight

Display Resolution
160 x 160 Pixel Monochrome Display

Email
Microsoft Exchange, POP3, IMAP4 and SMTP

Internet
Using the MyPalm™ Portal, enter your favorite URL or access any Web clipping application.

HotSync® Cradle
USB Cradle included

Infrared Port – Yes

Palm Expansion Card Slot – Yes

Palm Universal Connector – Yes

Applications
Address Book, Date Book, Clock, To Do List, Memo Pad, Note Pad, Mail, and Calculator, plus MultiMail™ Deluxe, AvantGo, Palm Reader, MGI PhotoSuite, DataViz Documents To Go, and MyPalm™ Portal.

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Supported Desktop Systems
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Wireless Email and Internet Access Requirements
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*Based on average application size of 50K
**Administrative rights may be required to install some software

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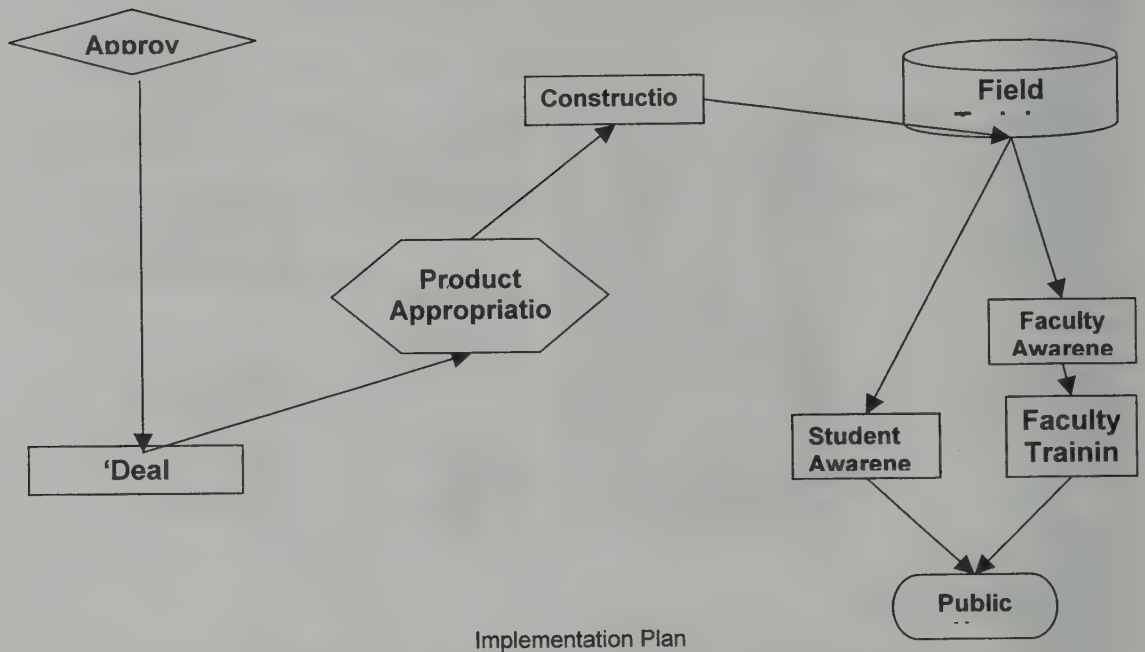
i705 RDS 1201



Implementation Plan

Survey 1: Expansion of the Enhanced Classroom Program

Target Demographic: Students

Question 1. Do you think Rutgers University should look into wireless internet and PDA use?

Responses			
Yes	126	0.969231	96.90%
No	4	0.030769	3.07%
Total	130		

Question 2. Should teachers have the opportunity to use said technology in lab/lecture settings?

Responses			
Yes	110	0.948276	94.80%
No	6	0.051724	5.17%
Total	116		

Question 3. In what areas of study would said technology most benefit?

Responses			
Science	68	0.586207	58.60%
Math	14	0.12069	12.06%
Liberal Arts	2	0.017241	1.72%
All Areas	32	0.275862	27.58%
Total	116		

Survey 2: Expansion of the Enhanced Classroom Program

Target Demographic: Faculty

Question 1: Should Rutgers University extend its Enhanced Classroom?

Responses

Yes	26	1	100%
No	0	0	0%
Total	26		

Question 2: Would you, as a member of the faculty, have an immediate use for said technology?

Yes	18	0.692308	69.23%
No	8	0.307692	30.76%
Total	26		

Question 3: Do you think that said technology has eventual application in your area of study?

Yes	26	1	100%
No	0	0	0%
	26		

Physician-Patient Communication Proposal

This proposal contains a great deal of excellent research, but Laurie is not just reporting information. She maintains focus toward her goal and chooses her research carefully in advancing that end. She supplements her paper sources with some good fieldwork: she has spoken with the doctors and knows that they are receptive to her idea. That lends strength to her argument and makes her project seem more feasible.

[Address withheld]
30 April 2001

Dr. Gregory Carroll, Director
Bayer Institute for Health Care Communication
400 Morgan Lane
West Haven, CT 06516

Re: Enhancing Patient-Physician Communication in Good Samaritan Hospital in West Islip, NY

Dear Dr. Carroll,

The enclosed proposal deals with the enhancement of communication between patients and physicians in Good Samaritan Hospital, which is located in West Islip, NY. The Bayer Institute for Healthcare Communication is an organization committed to enhancing the quality of healthcare by improving the communication between the clinician and patient through three major activities: education, research, and advocacy. My proposal will enhance the quality of care received by patients and therefore will help the Bayer Institute toward obtaining its mission. Effective communication between a doctor and patient is essential to treatment. It can have numerous positive effects on the patient. Doctors need to be more aware of the side effects that the lack of an open relationship can have. Many misunderstandings that have potential or actual adverse consequences for medicine taking are associated with the lack of participation of the patient in the decision-making. With proper education about this subject, the positives effects of the treatment regimen prescribed by the physician can greatly increase.

I understand you have a busy schedule, but as director of the Bayer Institute, I hope that you see the importance of such a project and will give my proposal great consideration. The program I suggest can be implemented immediately upon receiving the necessary funding. I invite you to come see my full project proposal presentation. I can be reached at (xxx) xxx-xxxx if you should have any questions or concerns regarding my proposal.

Sincerely,

Laurie Tumsuden

The Importance of Enhancing Patient-Physician Communication

Submitted by: Laurie Tumsuden

Submitted on: April 30, 2001

Submitted to: Dr. Gregory Carroll, Director
Bayer Institute for Health Care Communication
400 Morgan Lane
West Haven, CT 06516

Writing for Business and Professions
If found, please return to:
Barbara Hamilton
Department of English
Rutgers University

Abstract

An open and comfortable atmosphere for both the patient and physician is an essential part to the healing process. Studies have proven that the strength of the communication strongly influences the patient's willingness to comply with treatment procedures and try new treatment options. The two key components leading to satisfaction and therefore compliance include the patient's ability to understand and memorize what the doctor is saying. Physicians need to tell their patients the details of their disease and the treatment regimen that goes along with it, in ways that they cannot only understand but remember, too. A various array of diseases are affected negatively by poor communication including HIV/AIDS, diabetes, depression, and obesity. Today, many medical schools across the United States focus on teaching students the impact that an open environment can have on the healing process. Ethics programs are gradually working their way into the curriculum at various schools to foster better communication skills for their students.

The proposal focuses on three consecutive seminars for the doctors of Good Samaritan Hospital that stress the necessity of strengthening communication skills. At this seminar, speakers will provide positive and negative examples of ways communication has affected their illness. Video examples will also be provided to assess, along with a focus on certain diseases in which communication directly correlates with the effects of treatment. This program has the potential to strengthen the role that doctors play in their patient's lives in an extremely positive way. In addition, this comfortable and open atmosphere that will be felt by the patient will continue with them for years to come, possibly removing some of the fear that they have toward going to see a physician.

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Executive Summary

Effective communication between a doctor and patient is essential to proper treatment. Studies have shown that good communication creates a better relationship with the patient leading to less depression, more confidence in the treatment, and a higher rate of patient compliance with the prescribed medication regimen. However, physicians who graduated from medical school more than fifteen years ago were mostly taught to keep a clinical distance from their patients. It was thought that this distance would inhibit doctor-patient issues such as transference and attachment. Therefore, doctors who have been trained under the "distance" paradigm often do not understand that they can communicate effectively without opening themselves up to difficulties associated with a transgression of boundaries.

Because the Bayer Institute for Healthcare Communication is dedicated to enhancing the quality of healthcare by improving physician-patient communication, you recognize the many positive benefits that come from retraining doctors in how to relate to the people in their care. At Good Samaritan Hospital in West Islip, NY, many of the doctors have been trained in the "old school approach" to communication. With the advent of such longterm diseases as HIV and the new treatments for diseases such as diabetes, epilepsy, and heart disease, which require patient compliance with a difficult medication schedule, these doctors are often puzzled as to why they cannot effectively get patients to understand the importance of following their direction in the treatment process. With the advent of new technologies such as the Internet, which allow patients to be more proactive and knowledgeable about their own treatment methodologies, people become frustrated in turn when they cannot get through to their doctors or ask questions. A seminar to educate physicians on ways of effectively communicating with their patients will be extremely helpful.

Over a three month period, three seminars on effective communication will be given at the Huntington Hilton on Long Island during a buffet style lunch. Dr. Wilson from the New England Medical Center, a researcher in the public health and an expert on patient-physician communication will be the speaker. At the seminars, physicians will see videos of doctors and patients interacting, hear a lecture, and practice techniques while role-playing with each other.

The lack of good patient-physician relations is a serious issue that leads, at the least, to a great deal of frustration on both sides. At its most dangerous level, it can lead to life-threatening complications. The total cost for providing this needed seminar for two hundred doctors at Good Samaritan Hospital will be approximately $ 19,000.00.

Introduction

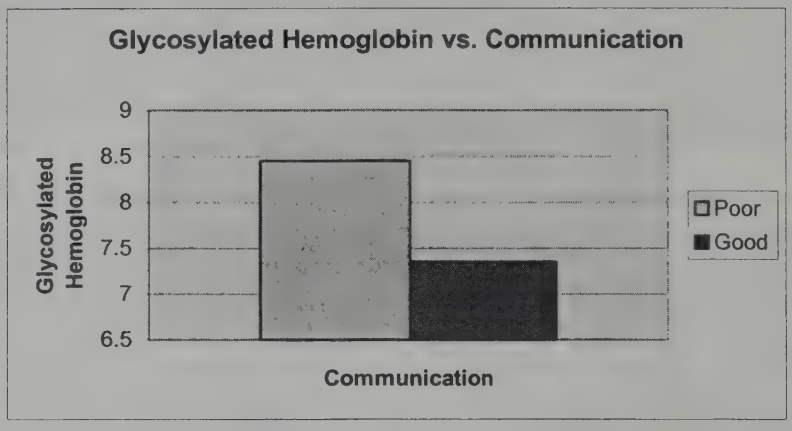
Communication between the patient and physician is one of the most influential factors in the outcome of diseases and health problems today. Whether it is a non-terminal or terminal illness patients want to feel as though they are being cared for. In order for doctors to accept that patient physician communication is a problem they have to first see the consequences that a negative confrontation can have on healing. The problem of patient-physician communication has been a major concern recently. The communication has had direct affects on many different diseases including diabetes and HIV/AIDS. Research has proven that the quality of the patient-provider relationship is associated with the ways various treatments affect the body.

Studies show that patients are frequently dissatisfied with the quality and amount of information they receive from doctors. Often patients feel that they have not been given enough information (Ley 43). Much of the communication, which occurs between doctors and patients, concerns the gathering of information about the patient and their problems. A survey conducted by the Medtronic Foundation shows 76 percent of adult Americans said they did not have complete control over treatment options offered when visiting a physician about a specific health problem (Patients 6). Hence, it is essential that medical doctors become skilled at eliciting such data and fostering the trust, which is necessary, if patients are to comply with the advice and treatment.

It is known that treatment works best when it occurs within the context of a caring and trusting therapeutic relationships that gives the opportunity for patients to discuss problems of compliance with the treatment that they are receiving. There have been several recent reports that reveal that over one-half of all the prescriptions in the United States are either not filled or taken properly. This clearly illustrates the fact that compliance with treatment and how we use the doctor-patient relationship are of central importance to excellent care (Tasman 1765). Apparently there is a miscommunication between the doctor and the patient when over one-half of the prescriptions are not being used properly if used at all. Many doctors may not realize that this problem is occurring right in their own facilities possibly with their patients.

Lack of adherence to diabetic self-management regimens is associated with a high risk of diabetes complications (Ciechanowski 29). Patients who exhibited a lack in communication with their physician had significantly worse glucose control than patients who felt comfortable with their doctor. There are significant differences in glycosylated hemoglobin levels between those who rate their patient-provider communication as poor as compared to those who rate it as good as seen in figure 1 found below. Glycosylated hemoglobin levels were at a 1.1 greater level for those patients that rated communication poor. A level of 7.4, which was the level of those who rated the communication good, is approximately where diabetic glycosylated hemoglobin should be. Overall adherence to medications and glucose monitoring was significantly worse in patients who exhibited a non-attachment to the provider and rated the communication with their physician as poor. Individuals with diabetes are at a greater risk for long-term complications such as kidney

disease, peripheral vascular disease, ulcers, and amputations, to name only a few. Ninety-five percent of diabetes management is conducted by the patient (Cienchanowski 30); therefore it is extremely important for health providers to recognize that a open and trusting relationship between themselves and the patient will help improve both the patient's adherence to a treatment regimen as well as the overall effect of the disease.

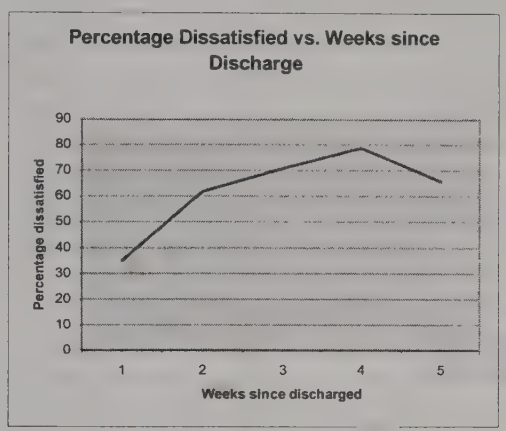


(Figure 1)
Source: Ciechanowski

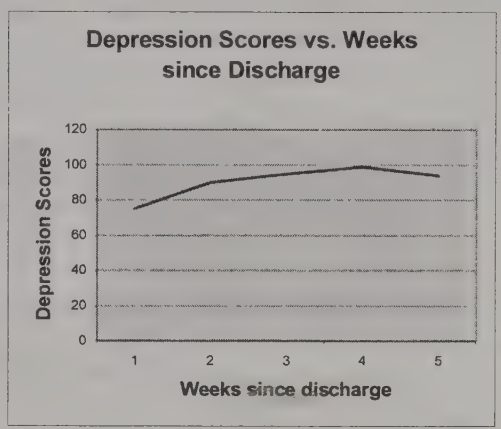
Fighting AIDS is about teaching the AIDS patients to establish a dialogue with the doctor so that they are given a chance to choose their treatments and decide their own futures (Brashers 375). It has been found that it is necessary for doctors to listen closely to their patients and not to assume that what works for one will work for all. With so many different AIDS treatments available it is integral for the patient's well being to have doctors take time to thoroughly communicate treatment procedures and instructions. As stated by Brashers (379), the physician and patient must become partners in learning how to win the fight against AIDS together. Adherence to treatment regimens is critical for the success of most antiviral drugs for AIDS. Therefore, negotiated treatments where both physicians and patients are comfortable with the drugs, their methods, and schedules of delivery are significant.

Encouraging a greater frequency of visits allows the patient to develop communication skills with health-care providers. Increasing visits or longer visits teach the patient to be more assertive and question all decisions that he or she is making or that are being made for him or her. When it comes to a long-term or terminal illness, an understanding and valued relationship needs to form. When a patient feels as though the doctor has truly taken an interest in the circumstances, the trust level greatly increases allowing for greater compliance. By having the patient feel as though he or she is a part of the decision-making gives a feeling of inclusion in the decision of what is best for him or her. The trust that is established between a patient and physician is imperative to the information flow and the willingness of the patient to try new treatments. As seen in

figures 2 and 3 dissatisfaction and depression have a direct relationship on each other when it comes to care provided by a physician. The dissatisfaction begins from the patients feeling as though he or she received inadequate information about treatment options and the illness that is attacking the body. This leads to the patient feeling depressed because of the uncertainty as to what is going on within the body and not knowing what the next step, if any, is in the healing process.



(Figure 2)
Source: (Bennet 43)



(Figure 3)

Attachment theory is a good way to apply the relationship of the patient-physician. This theory proposes that the quality of early care giving influences how an individual perceives and engages in subsequent relationships. Medical schools used to focus on teaching their students that asking less questions about personal life was better for the treatment because the relationship could be kept strictly on a business level. Recently, it has been concluded that doctors need to take an interest in the patient's life outside the disease. Asking questions about daily life lets the physician see what habits the person has that maybe affecting the treatment prescribed or may affect the treatment that the doctor was planning to prescribe. Finding out details about the patients life before treatment begins, helps to alleviate some of the problems that may come up later on into treatment.

Older generations of doctors were taught that eye contact makes the patient feel uncomfortable and causes too much attachment, as can be seen in figure 4. Research has found that eye contact does the exact opposite, and instead it conveys comfort and reassurance. Persons with this dismissing attachment develop a need for self-sufficiency because of a caregiver that had been unresponsive and neglectful. Thus, greater negative symptoms would be seen in these types of relationships due to fewer visits to health professionals, less self-disclosure, and worse use of treatment (Ciechanowski 37). Doctors need to be aware that how they treat a patient may not only affect their relationship with the patient but also affect the future interactions that patient has with other physicians.

Lack of Eye Contact

(Figure 4)
Source: Myerscough

Lack of communication is a large problem between doctors and physicians. Insufficient communication leads to much noncompliance by the patients therefore creating much harm to the person receiving treatment. This could easily be controlled if doctors were formally educated on the necessity of an open relationship.

Literature Review

Training and Education

Organizations train and educate professionals, in settings that define and reflect professional values. Our medicals schools educate and train students in becoming physicians. Our hospitals do the same in a very different learning setting. Learning in the classroom or laboratory is largely about medical science. Learning in wards and outpatient clinics of hospitals teaches students to care for patients. Therefore, the care for the patient on the ward or in the clinic is learning by doing, which is today called problem based learning. In this type of learning the student actually interacts with a person that has a medical problem. Under supervision, the future doctor learns how to work with the patient see how that patient reacts to certain situations. This type of learning increasing the effectiveness of the doctor's interactions with patients when he or she is done with school because there is only so much a textbook can teach you. It is not until you are confronted with a real situation hands on that you truly learn to take control of the problem being faced before you.

There are two essential things for doctors to learn and treat illnesses. These include both assessment and management. Assessment requires evaluation of the course of the disease, the patient's compliance in treatment and performance of preventive behaviors, and attention to functional status of the patient. Management requires a trusting doctor-patient relationship, knowledge of treatment, patient education and elicitation of patient preferences, and psychological care of the patient. In managing illness, patients' trust in the doctor is the foundation of their willingness to cooperate, their readiness to let the doctor make decisions about their care, and their acceptance of potential vulnerability. The doctor must meet this trust by informing and involving the patient in decisions about his or her own care and prevention.

Patient-centered Healing

These settings and learning goals require new relationships with patients, relationships that are termed "participatory" or "patient-centered." In turn, these relationships require greater communication with patients, not technical interventions alone. Doctors must be willing to educate patients about risks, prevention and rehabilitation.

The American Medical Association recently celebrated its 50th anniversary this past year with a new program focusing on medicine as an art of healing. This program raises and disseminates funds in support of initiatives that focus on and improve the patient-physician relationship (Booth 22). The programs will provide greater opportunities for medical students to connect with their patients and for patients to partner in their own healthcare. It will address the need for new and meaningful models for interacting with their future patients and for ways to overcome communication barriers that often exist. The foundation provides opportunities for the student and

resident leaders of medicine to participate in such programs as the AMA's National Leadership Development Conference (Booth 21).

Many medical schools are now forming programs to include the "bio-pyscho-social" model, which stresses the integration of biological, psychological, and social dimensions of illness. From this model patient-centered practice is evolving, one that enhances both scientific and ethical values in medicine (Li S32). While these programs will provide strength to the service of new doctors, there will be a major disadvantage for both the patients and doctors of the older generations of healthcare providers. There is a creation of an age gap of those doctors that graduated from medical schools in the 70's and 80's to those students that graduated from the 90's and beyond. Both younger and older generations need to realize that they are not facing cold stones or objects, but patients with flesh and feelings. They must provide not only technical skills and therapy, but also compassion and care (Li S31).

Technological Improvements

The Internet and related technologies provide great changes in the doctor patient relationship. Patients are now more educated because the great accessibility to the Internet. This places a shift on the old paradigm in which doctors were well respected in all that they said. Before the technological advances in Internet communication patients were unable to receive large amounts of background information about the illness that was facing their body before walking into the doctor's office. Patients were likely to not interact in the decision making process of treatment options presented to them. The new paradigm suggests patients are prepared with lists of questions when they walk into an appointment with the physician. Patients come in with the treatment they want already planned in mind, making it harder for doctors to make them understand why the treatment they choose may not be the right one for them.

Doctors must begin to realize that there are scattered diamonds of excellent medical information hidden among the mountains of health.coms. These gems can truly enhance the quality of care when the doctor and patient use the information in a helpful way to enhance the healing process (Friedwald 80). Smarter patients are better patients when given the guidance that is essential from a doctor's care and can help to evolve decision making into a more shared activity. The only way for the Internet to have the greatest positive impact on the ability of doctors to provide quality care is for the doctors to take the information that the patient presents them with and use it actively in conversation that they share.

Awareness of Problems

Doctors are extremely intelligent people who have devoted much of their time to helping others. Most strive to be the best that they can be. Sometimes with the overwhelming challenges that they face each day it is easy to forget the importance of establishing a comfortable relationship with each patient. Most patients often enter the relationship with their doctor as we as a society enter marriage allowing our high hopes

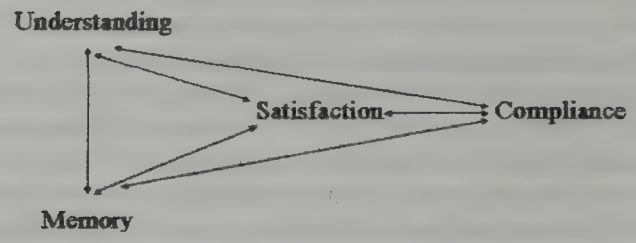
to obscure our possibility of deep disappointment (Portmann 280). If the method of using seminars to make doctors aware of the importance of compliance was implemented the relationship that the patient hopes to have with their doctor would become a reality.

According to Dr. Robert Dorwart, who is a radiologist that spent many years working in various hospitals before going into private practice, it is important for health professionals to partake in activities that enhance their methods of treatment. Each year doctors across the nation are required a certain number of "retraining hours" which can include anything from taking a class, going to seminars, or volunteer clinical work. From his experience he has found that the best way to "retrain" doctors of new studies that have been found to help how doctors interact with patients or to enhance their practice, educational seminars are the most beneficial. Especially when speakers come to the seminars, doctors truly get to see that the information being presented to them is "real life" and not just a statistic on paper. He said that too many times doctors are given flyers to read with all these new statistics on them and unfortunately with their daily schedule they get pushed aside and never read. He feels, after speaking with other doctors in various fields when the facts are thrown right in front of them, 99% of the time the physicians will use the new information as constructive criticism.

Compliance

Implicit in most research on "compliance" in patient-physician communication is the notion that non-adherent patients generally fail to follow prescribed routines because they do not understand the physician's orders or are unable or unwilling to cease harmful behaviors (Brashers 389). Therefore it is important that physicians establish relationships in which patients feel comfortable in saying that they do not understand the various routines. Many times the patient feels that they are being looked down upon and do not want the doctor to see them as unintelligent. The physician needs to make the patient understand that he or she is there to help, which can be best accomplished when the patient is open in expressing what they do not understand. It is imperative that the doctor asks questions and not just sits back and thinks everything is okay because the patient has not expressed any actions of noncompliance. The importance of the strength of communication in the healing process may be unnoticed by the older generation of doctors. All of the misunderstandings, which have potential or actual adverse consequences for medicine taking, are associated with the lack of participation in patient decision-making (Charles 1221). Thus, it is clear that telling patients is in itself not enough. They have to be told in ways that they can understand and remember (Ley 298). As can be seen in figure 5, there are three essential ingredients that lead to compliance which are understanding, memory, and satisfaction.

The Relationship Between Understanding, Memory, and Satisfaction



(Figure 5)
Source: Ley

Doctors are intelligent people who have many things to remember and many patients to deal with. But only in a shared approach do doctors commit themselves to an interactive relationship with patients in developing a treatment recommendation that is consistent with patient values and preferences. To enable this to happen, doctors need to be educated to create an open atmosphere in which patients can communicate all their agenda items (Charles 1221). Taking the time to show them the importance of how patient relationships affect treatment will not only open theirs eyes to the need for communication, but also help them to be better than what they have always perceived as the best. It is also necessary to show caregivers that listening to what the patient has to say can do wonders for the treatment.

Proposal

In the past there has been considerable evidence that medical training was failing to equip students with the basic interviewing skills (Bennet 145). This was an important issue that begun to be noticed in that late 1970's, but only recently have there been more in depth training programs regarding the importance of interviewing skills to facilitate better patient compliance. Now, twenty years later, many medical schools are working on teaching their students medical ethics to foster stronger communication with patients. There is a major concern about this gap education for older generations of doctors that can have a detrimental affect on both the patient and physician.

I believe that having a seminar to address the significance of good communication between physicians and patients will help older doctors to understand its importance as a one of the methods of treatments. The seminar will focus on the various effects the patient-physician relationship has had on many diseases and also on different individuals. The various topics that will be discussed will correlate with what is being taught and focused on in Medical Schools today. Physicians will be able to see a list of facts about compliance and adherence in relationships between the caregiver and the patient. Also, a focus on how many misunderstandings occurs while prescribing medication or talking about treatment options when there is a lack of trust or an inability to voice the one's opinions will be addressed.

I propose starting with one hospital, Good Samaritan Hospital in West Islip, New York. This hospital is the most suitable for the proposal because over 80 percent of the doctors who work at this hospital or are affiliated with it graduated from medical school in the late 70's or early 80's; therefore, they never received the new type of ethics based training doctors are receiving today. When I spoke with several doctors at Good Samaritan Hospital recently, they showed great interest in learning facilitating better communication with their patients. They were extremely interested in the various facts I had found and the different diseases in which communication had a direct correlation with treatment outcomes. They also seemed intrigued by the idea of role-playing and said they would participate in it.

The proposal is a one-step process that will entail three consecutive seminars that stress the importance of communication. The seminars will take place on the first Saturday of three consecutive months starting with September of 2001. September was found to be the best time to start the seminars because most physicians I spoke with agreed that during the summer it is much less likely for physicians to give up their weekends. Therefore, the exact dates would be September 8, so there is no conflict with Labor Day weekend, October 6, and November 3. The seminar rooms will be reserved at the Huntington Hilton for a 4-hour time period. The Huntington Hilton has multimedia rooms to provide all the equipment necessary to hold my proposed seminar. All the multimedia equipment is set up and taken down by the Hilton. Within this four-hour time a buffet style lunch will be served to all the participants. A list of doctors' names and addresses would be acquired by me from the hospital administration after showing them a letter of proof as to what the addresses would be used for. The letter would need to be

signed by the Bayer Institute for Healthcare Communication, myself, and the Huntington Hilton to prove to validity of the seminar. Through the mail the doctors would receive invitations inviting them to take part in this academic activity with a description of the various activities that would be taking place during the day. The invitation will stress why it is imperative to them and their patients that they attend. They would need to R.S.V.P two weeks prior to each of the seminars so that I could give an exact head count to the Hilton. On the Wednesday before each of the proposed dates, I will pass a flyer around Good Samaritan Hospital to remind the physicians about the seminar. The flyer will be a bright color, reiterate the date and time, and stress the importance of coming.

While at the seminar doctors would get an opportunity to hear speakers talk about the positive and negative interactions that they had with all types of doctors. They would speak on how the treatment they received affected the symptoms of the illness they have and also what they felt was good and bad about the experiences they encountered with various doctors. Also, the speakers would add in what they felt could enhance the visits they have with doctors. Next, video examples of real life patient physician communication will be shown to the audience. Assessments will be made by each doctor to see what they felt the strong and weak points were. After the doctors have made their assessments, a Dr. Wilson who is in the field of research of healthcare communication would speak on the feedback he has received from the patients featured in the videos and also past feedback from doctors. Following will be the break for lunch allowing doctors to communicate with other doctors and hopefully talk about the positive aspects of the seminar.

After lunch, a show of examples of various diseases and the effects communication has on these diseases will be shown through a power point presentation. The diseases will include HIV/AIDS, diabetes, obesity, and depression. The physicians will be able to see many graph and illustrative relationships between the way they interact with patients and the outcome on the disease. Physicians will also be able to notice that in some diseases a longer visit is needed, such as in instances where the treatment for the disease is predominantly done in the privacy of the patient's home. Lastly, everyone will be split up into small groups and overseen by Dr. Wilson and his assistants so that role-playing can be done. Many medicals starting these new medical ethics programs have found that role-playing is one of the best ways for physicians to learn to enhance communication skills. Each group will be given a scenario determined by Dr. Wilson and asked to perform it in front of the audience. This portion of the seminar will represent the problem-based learning that is taught in Medical Schools today. Studies have found this creates a fun and positive way of learning and remembering the essential need for communication for years to come. Dr. Wilson from the New England Medical Center will provide all of the speakers, video examples, illustrative examples, and assistants. Dr. Wilson is a researcher in the area of public health and the effects of patient physician communication in disease recovery and care. He provides all of the essentials for seminars like I have presented free of charge as long as he can use the feedback in his research. A month after the last seminar each doctor that attended the seminar will be given a questionnaire to fill out in order to assess the quality and helpfulness of the seminar.

Budget

The cost of having the seminar for Good Samaritan Hospital with the three sessions of training:

Seminar Room at the Huntington Hilton (Buffet-style lunch included)		
200 people @ $30.00 = $ 6,000.00 x 3		$ 18,000.00
Speakers (Provided free of charge by Dr. Ira Wilson)		$ 0.00
Video Examples (Provided free of charge by Dr. Ira Wilson		$ 0.00
Video Equipment (Provided free of charge by the Hilton)		$ 0.00
Invitations	230@ $ 3.00	$ 690.00
Postage for Invitations	230@ $ .34	$ 78.20
Flyers to be passed around as reminders	1,000@ $ .07	$ 70.00
Questionnaires for Assessment	230 x $.07=	$ 14.00
Total		**$ 18,822.20**

Considering that the physicians at Good Samaritan Hospital seem very interested in this idea and want to attend the seminar, I anticipate a good response. I am budgeting for 200 out of 230. If fewer physicians are able to attend each session, we may consider holding another training session with any remaining funds for those who could not make the first three due to work commitments.

Discussion

Most patients have made it clear that they want their doctors' guidance when seeking information (Friedwald 80). Doctors need to be reminded of the obligation, within the informative model of the doctor-patient relationship, to assist those patients seeking their expertise. Typically doctors have more power than patients do in structuring the nature of the interaction between them. Consequently, patients feel that their voice is overridden. To improve this communication between doctors and patients, the nature of the decision-making that is taking place in the consultation must be understood (Charles 1221). Seeing the great need for better communication between patients and physicians, various medical institutions have implemented new programs that stress stronger interviewing skills and the significance of ethics. Having never been formally taught the importance of the strength of communication in the healing process many older doctors are unaware of its importance.

Doctors have ethical and professional duties and responsibilities to perform. As the years progress medical teachings are changing, the duties of the physician are being redefined into ways of learning to care methods. This redefinition no longer reflects the traditional values older generations of doctors know medicine as. Patients seek doctors in hope for high-quality body repairs. The doctor, through biomedical aspects and teaching, must hold themselves to the ethical lessons hoped for by the patient. Yet for many doctors the lack of communication may be due to their lack of knowledge of this area of care giving.

With effective methods of teaching the doors of communication can be increased throughout Good Samaritan Hospital. The program I proposed would use Good Samaritan Hospital as the experimental group. The group would be given evaluations to fill out within the next month to see if they feel that any positive difference has been made in the care that they are giving.

The evaluations would be a simple short answer questionnaire with space for additional comments if the person felt necessary. Some of the questions would included:

-Did you feel the seminar was worthwhile?
-What affect did the seminar have on your care giving, if any?
-Would you recommend that more hospitals have programs like ours for their doctors and affiliated doctors?
-How would you have changed the program presented to you?
-What did you feel the positives were?
-What did you feel the negatives were?
-Before coming to the seminar, did you realize that there was a problem with the way patients and physicians were communicating with each other?

These questions would be good indicators of the quality of the seminar. Thus, because this evaluation procedure only requires minor additional costs and statistical determinations, which will be provided by Dr. Wilson, it is a very practical indicator of

the success of the seminar. Obviously, a program like this does not guarantee success with all doctor-patient interactions but it is a basis for doctor's recognition that there is a problem. Once the program is proven to be successful, its implementation on a larger level can begin. This would provide for the extension of programs like this through out the New York area and the nation. Through the implementation of these seminars to doctors, care to patients can move into the future with greater success and less symptoms and problems seen in treatment. Therefore, not only physicians' success with the various treatments to choose from but also patient's well being in Good Samaritan Hospital would be enhanced by these seminars. Hopefully, with its success the nation of people giving and receiving care will be able to benefit from the adoption of my program.

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